U.S. PASSENGER LIST (PAXLST) Message Implementation Guidelines

UN/EDIFACT Message Set

DRAFT

Advance Passenger Information For Airlines

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Executive Summary

Background

In response to the terrorist attacks of September 11, 2001, legislation was passed making it mandatory for all commercial airlines on international flights to send their passenger and crew manifest data to the U.S. Customs Service (USCS) for advance processing. Prior to the passage of this legislation, submission of advance passenger manifest data was done on a voluntary basis. A standard data format known as UN/EDIFACT – United Nations/Electronic Data Interchange for Administration, Commerce, and Trade – was adopted by the United Nations Economic Commission for Europe (UN/ECE). It has been modified by the International Air Transport Association (IATA) and the World Customs Organization (WCO) for worldwide use by all scheduled air carriers and Border Control Authorities.

In order to implement the requirements of the UN/EDIFACT message set, Customs and Border Protection (CBP) has made changes to its Advance Passenger Information System (APIS). This document is based on the WCO/IATA Advanced Passenger Information Guidelines, and contains the guidelines for IATA carriers to follow in the preparation and transmission of the passenger/crew manifest data for processing by CBP. (For purposes of this document, an "IATA" carrier is one whose flights are identified by a two or three character IATA or CBP-assigned carrier code, plus a one- to four-character flight number.) It does not cover reporting for non-IATA methods of transport, such as other types of commercial aircraft and ocean vessels, which will be covered in future documents.

Notes:
1. This document does not replace the previous set of guidelines contained in "API for Airlines," Version 1.05, for IATA carriers who have been using the US/EDIFACT message set. The UN/EDIFACT message described in this document is quite different. There will be a transition period, during which the existing US/EDIFACT messages and the new UN/EDIFACT messages will both be supported.
2. All examples in this document are fictional. There is no implication that any carriers operate flights with the numbers shown, or fly these routes. Any resemblance to real people, their documents or itineraries, or any personal details, is strictly coincidental.

Revision History

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6/06/03	OIT-SDD-TB-UN_EDIFACT_AIR_v.18	Minor edits	Pages 14, 69, 71

Table of Contents

1. Introduction

In response to the terrorist attacks of September 11, 2001, legislation was passed making it mandatory for all commercial airlines on international flights to send their passenger and crew manifest data to the USCS Advance Passenger Information System (APIS) for processing before their arrival in the United States (U.S.). Prior to the passage of this legislation, submission of advance passenger manifest data was voluntary.

The purpose of this manual is to provide guidelines to air carriers for the preparation and transfer of manifest data to APIS using the required UN/EDIFACT format. These implementation guidelines identify the unique data requirements of CBP for collecting passenger and crew data from air carriers flying into and out of the United States.

Advance Passenger Information System (APIS)
APIS is a database system that facilitates research on passengers and crew members on international flights before their arrival into or departure from the U.S. Developed in 1988 by the United States Customs Service (USCS), in collaboration with the Immigration and Naturalization Service (INS), APIS collects passenger and crew biographical information from international air carriers and checks this information against the Interagency Border Inspection System (IBIS). IBIS includes data from the databases of CBP, INS, the State Department, and 21 other federal agencies. Names are also checked against the FBI's National Crime Information Center (NCIC).

UN/EDIFACT Message Format
In 2002, a standard EDI message set was approved for use by the United Nations/Electronic Data Interchange for Administration, Commerce, and Trade (UN/EDIFACT) — under the auspices of the United Nations Economic Commission for Europe (UN/ECE). The International Air Transport Association (IATA) and the World CBP Organization (WCO) adopted the Passenger List (PAXLST) message set for use by all scheduled air carriers for the transmission of passenger and crew data to Border Control Authorities. This UN/EDIFACT PAXLST Message Set documentation identifies the format and syntax rules that scheduled air carriers must follow in transmitting data to the appropriate authorities in the U.S.

Types of Data and Operations Supported by APIS UN/EDIFACT
APIS allows two types of transaction data to be reported using the UN/EDIFACT PAXLST:

- A list of passengers on a flight entering or leaving the U.S.
- A list of crewmembers on a flight entering or leaving the U.S.

All transactions are treated as "add" operations. Once a traveler has been added to the reported list for a flight, subsequent reporting of a traveler with the same name and date of birth, for the same flight, will be discarded. Corrections and/or additions to a traveler's data **cannot** be made after the initial report. Carriers should ensure that all necessary data for a traveler has been collected and formatted correctly on the PAXLST before sending it to CBP.

Differences between US/EDIFACT and UN/EDIFACT Formats
There are some important differences between the format of the US/EDIFACT message currently being used, and the new UN/EDIFACT message format. A few of them are listed in the following table. (Specific structural details of the UN message are described in Section 1.2, and details of the individual segments are described in Sections 3 through 25.)

Table 1: Comparison of US/EDIFACT AND UN/EDIFACT

	US/EDIFACT	UN/EDIFACT
Segment Usage and Repetition	Segment types are used for one specific purpose in one place. Except for PDT and LOC, they are not repeated.	Segment types are very general, and can be used for multiple purposes in multiple places. Many of them contain a qualifier code that defines the particular use in a particular place. The usage is context-specific, and depends on the "segment group" of which they are a part. Examples include NAD, LOC, and DTM segment types.

	US/EDIFACT	**UN/EDIFACT**
Segment Types Used in Only One Message	The following segments are used in US/EDIFACT, but not UN/EDIFACT: • CTA • UNS • PDT	The following segments are used in UN/EDIFACT, but not US/EDIFACT: • BGM • NAD • COM • ATT • NAT • RFF • CNT **Note**: A segment type may be used in both messages, but it will often have a different syntax, mandatory data element values, and/or coding rules.
Conciseness	A business entity, such as a passenger, can usually be completely represented by a single segment type. For example, a PDT contains all of the data for a single passenger.	Most business entities need a group of segments to be fully described. For example, each passenger requires an NAD segment, and usually requires a set of ATT, DTM, LOC, NAT, RFF, and DOC segments as well. These segments work together, and must be coded properly for the context in which they are used. While not as concise as US/EDIFACT, this structure supports a great deal of additional data while allowing the flexibility to report only what is required.
Distinguishing US Messages from UN	The UNB segment's Application Reference data element (#0026) has a value of "CEDIPAX".	• The UNB segment's Application Reference data element (#0026) must have a value of "APIS". • In addition, for the IATA carriers covered by this document, the UNH segment's Association Assigned Code data element (#0057) must have a value of "IATA".

	US/EDIFACT	**UN/EDIFACT**
Carrier Code/Flight Number Identification, and Arrival Date/Time	The UNH segment's Common Access Reference data element (#0068) is a 3-field concatenation of the Carrier Code and Flight Number, Arrival Date, and Arrival Time, separated by slashes.	• The Carrier Code and Flight Number are reported on the TDT segment's Means of Transport Journey Identifier data element (#8028), as a concatenated field with no separation. • Inbound Flights: The Arrival Date/Time is somewhat complicated. Following the TDT are two or more LOC segments that report the flight's itinerary. One of these LOCs must have a Function Code Qualifier data element (#3227) with the value "87" to denote Arrival Location. Following this segment will be one or two DTM segments, and one of them will have a Function Code Qualifier data element (#2005) with the value "132" to denote Arrival Date/Time at that location. This is the local Arrival Date/Time of the flight in the U.S. • Outbound Flights: The Departure Date/Time is reported in similar fashion to inbound Arrival Date/Time. The flight itinerary must have a LOC segment with Function Code Qualifier of "125" (Place of Departure), with a following DTM having Function Code Qualifier "189". This is the local Departure Date/Time of the flight from the U.S. • The UNH segment's Common Access Reference data element may be used for the carrier's purposes, but BCP will ignore it. BCP will <u>not</u> use it to identify the carrier, flight, or arrival date / time.

Data Transmission

CBP currently supports receipt of transmissions primarily through two air industry oriented networks: Aeronautical Radio Incorporated (ARINC) and Societe Internationale de Telecommunications Aeronautique (SITA). Carriers desiring to use either of these

communication services should contact them directly for additional information and technical details. See Appendix D: Connection – Testing and Production.

These networks may have limits on the size of certain types of messages, which may require certain long messages to be split into multiple "blocks". If this is done, each block must constitute a standalone transaction, that can be processed whether or not any other blocks are received. The following guidelines must be followed:

1. Each block must have a complete set of UNA, UNB, UNG, UNH, UNT, UNE, and UNZ header/trailer segments.

2. Each block must have a BGM segment, and contain the TDT and flight itinerary segments.

3. A traveler's data must not be split into multiple blocks. If a traveler is identified in a block, all of his or her data must be contained in that block.

4. The sender may wish to use fields in the UNH segment to specify a block sequence number, and indicate the initial and final blocks that are being sent. However, there is no guarantee that CBP will receive and process the blocks in the order that they were sent. BCL will use the block sequence numbers and the initial / final indicators for troubleshooting missing or corrupted blocks, but there is no automated validation or reporting of "missing" blocks.

A transmission should consist of a single continuous bit stream.

Transmission Data Quality
With the increasing volume and importance of the data being sent to APIS, the quality and uniformity of data transmissions is of great concern. APIS filers should be aware of the following policies:

- Transmission syntax rules described in this document must be followed. This includes mandatory values for specified data elements, and coding practices for groups of data segments (such as the flight itinerary). Transmissions that fail to follow these rules and practices may be rejected by the system. Also, certain syntax errors, such as those involving a required segment for a segment group, may cause the data for subsequent travelers in the transmission to be lost.

- No exceptions to the syntax rules will be made for any filer.

- Qualification testing must be passed before actual "live" flight data will be accepted. Do not submit UN/EDIFACT transmissions to the CBP production system without express prior approval.

General Notes for this Guide

- This is intended to be a technical guide for explaining the UN/EDIFACT PAXLST syntax as implemented by CBP. Some data elements marked as "conditional" under the PAXLST may be mandatory under CBP regulations. This guide does <u>not</u> attempt to explain all of the situations in which various conditional elements must be present, and it should not be seen as a substitute for CBP laws and regulations. Every attempt has been made to ensure that this guide conforms to those laws and regulations, but in all cases, they take priority over the contents of this guide.

- Frequently, the words "person" or "traveler" are used when an explanation applies equally to either a passenger or a crewmember.

1.2 Message Structure

The UN/EDIFACT PAXLST message format hierarchy consists of five (5) segment
levels and five (5) segment groups of information as depicted in the diagram below. The
figure below illustrates the relationship between the PAXLST Segment Groups.

Figure 1: PAXLST Message Structure
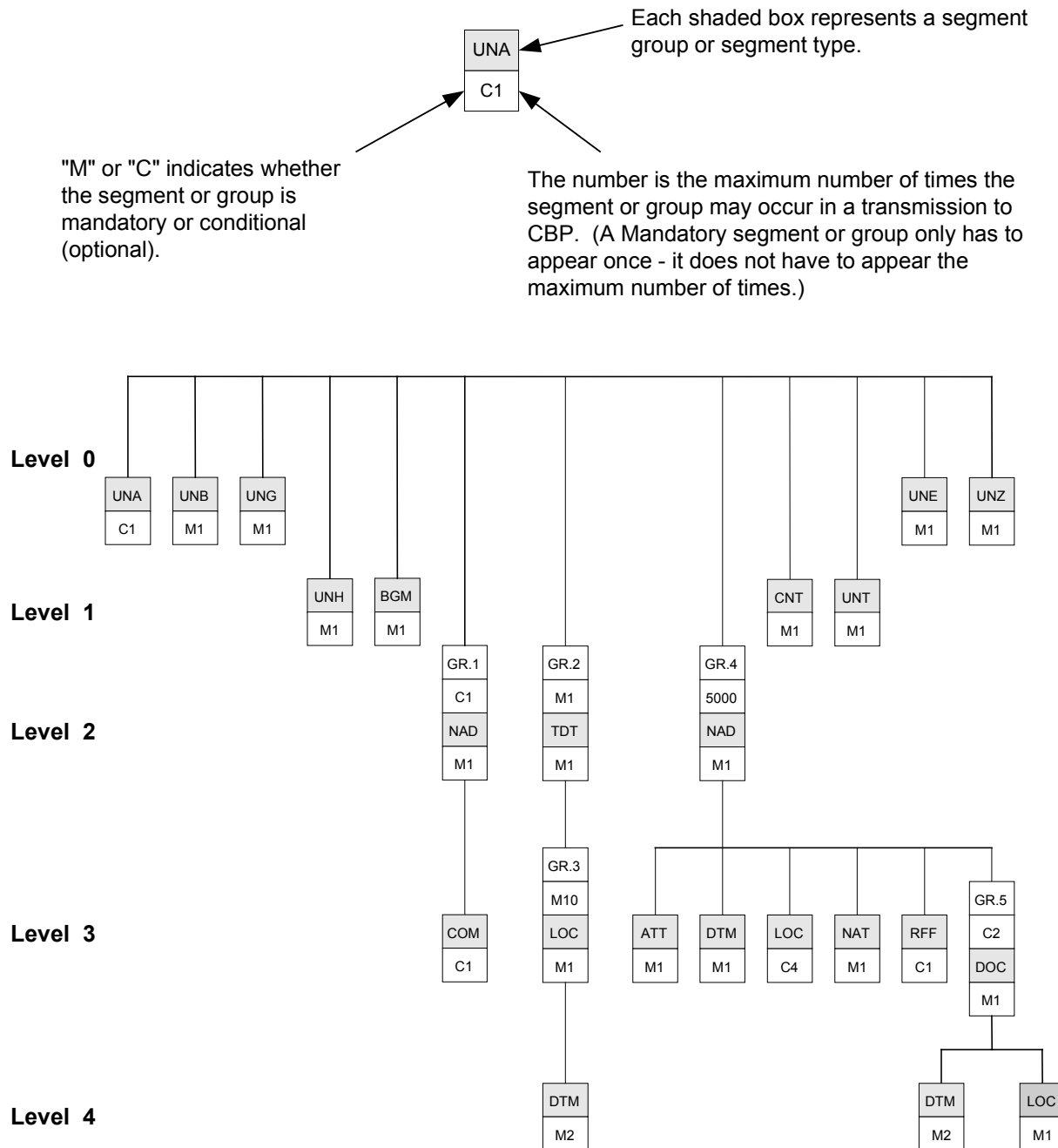
Please note the following characteristics:

- One PAXLST message will be used to report all passengers on a specific flight. A separate PAXLST must be used to report crewmember information. The messages may be transmitted separately, or combined into one transmission. (A PAXLST message consists of the set of segments from the UNH to the UNT. This set may be repeated a second time within the single set of UNA, UNB, UNG, UNE, and UNZ segments that define a transmission. Both PAXLST messages within a transmission must refer to the same flight and arrival date.)

- There are five (5) Segment Groups shown as GR.1 – GR.5. **Note:** A Group can be subordinate to another Group in the PAXLST. For example, Group 3 exists only if Group 2 is present. Both are mandatory for this implementation.

- Segments can be either mandatory or conditional (optional). **Note:** Some segments are defined as mandatory, but in the context of a group that is optional. If the group is not used, the segment will not be sent. Refer to the detailed Segment definitions in the following Sections. In some cases, CBP APIS implementation differs from the IATA/WCO versions of the PAXLST, in that we have defined certain segments as mandatory that IATA and WCO defined as conditional. Also, APIS business rules may require that certain "conditional" data is usually required.

1.3 Sample PAXLST Message

The following is a sample API message in UN/EDIFACT format; one line per segment.

```
UNA:+.? '
UNB+UNOA:4+AIR1:ZZ+USCSAPIS:ZZ+030421:0900+000000001++APIS'
UNG+PAXLST+AIR1:ZZ+USCSAPIS:ZZ+030421:0900+1+UN+D:02B'
UNH+PAX001+PAXLST:D:02B:UN:IATA+ABC01+01:F'
BGM+745'                                    ← Determines Passenger or Crew manifest
NAD+MS+++JIM DANDY'                          Group 1 - Point of Contact
COM+703 555 1234:TE+703 555 9876:FX'
TDT+20+QF123'                                ← Group 2 - Flight Identification
LOC+125+SYD'                                 Group 3 - Flight Itinerary
DTM+189:0304210830:201'
LOC+87+HNL'
DTM+232:0304201840:201'
NAD+FL+++CLARK:MICHAEL'                       Group 4 - Crew / Passenger Entry
ATT+2++M'
DTM+329:550907'
LOC+22+HNL'
LOC+174+USA'
LOC+178+SYD'
LOC+179+LAX'
NAT+2+USA'
RFF+AVF:ABCD1234'
DOC+P:110:111+MB140241'                       Group 5 - Document
DTM+36:051021'
LOC+91+USA'
NAD+FL+++DOE:JOHN:WAYNE+201 ANYSTREET+ANYCITY+VA+22153'   Group 4 - Crew / Passenger Entry
ATT+2++M'
DTM+329:570121'
LOC+22+HNL'
LOC+174+CAN'
LOC+178+MEL'
LOC+179+IAD'
NAT+2+CAN'
RFF+AVF:ZYXW9876'
DOC+P:110:111+AAWE4331'                        Group 5 - Documents
DTM+36:051021'
LOC+91+CAN'
DOC+V:110:111+DF666666'
DTM+182:990119'
LOC+91+:::TORONTO'
CNT+42:2'                                     ← Total Passengers/Crew From the Departure
UNT+38+PAX001'
UNE+1+1'
UNZ+1+000000001'
```

2. Key

PAXLST transmissions observe the following syntax rules:

- All message data is in UPPERCASE text.

- The message is divided into segments. UNH, BGM, NAD, etc. are Segment Tags.

- The UNA segment defines special characters used to separate data elements and terminate the segment. All examples in this document use the default characters, which the APIS system will use if there is no UNA segment to specify different ones.

  The defaults are:
  - To end a segment, use a single quote (**'**) as the segment terminator.
  - Segments are divided into Data Elements. To separate Data Elements, use a plus sign (**+**).
    (If conditional elements at the end of a segment are not present, their separators are not transmitted.)
  - Elements may have sub-elements. To separate sub-elements, use a colon (**:**).
    (If conditional sub-elements at the end of a data element are not present, their separators are not transmitted.)

  Different control characters may be specified by using the UNA segment.

- Messages must be transmitted as a continuous bit stream. "Lines" have no meaning – there is no such thing as a "maximum" or "minimum" segment length, other than that specified in the segment definitions. (For clarity, example messages in this guide are shown with a line break between segments. This is completely arbitrary, and these "lines" could be shown just as well with a partial segment or more than one segment. Refer to the example in Appendix B.1 for a different view of a PAXLST message.)

- In general, telecommunications transmissions require various header and trailer data for addressing, security, and other purposes. The UN/EDIFACT standard does not define this data, and none of the examples in this guide show it. If a value-added network such as SITA or ARINC is used for APIS transmissions, their requirements for headers and trailers must be followed. Information on communications headers and trailers required by CBP is described in Appendix D, Connection – Testing and Production.

Example: Each large box describes a Data Element. The example below describes the "Message Type Indicator" element.

Data Element
code number ————————➤ 0065M   an..6   a = alpha n = numeric
                                                                    ..6 = element can have up to 6
                                                                    alpha-numeric characters

M = Mandatory
C = Conditional   **PAXLST** ◄   Example of data/value (May
(optional)   be Variable Data or Fixed
                                                                   Value)
                              Message Type Indicator ◄

                                                                   Description of element
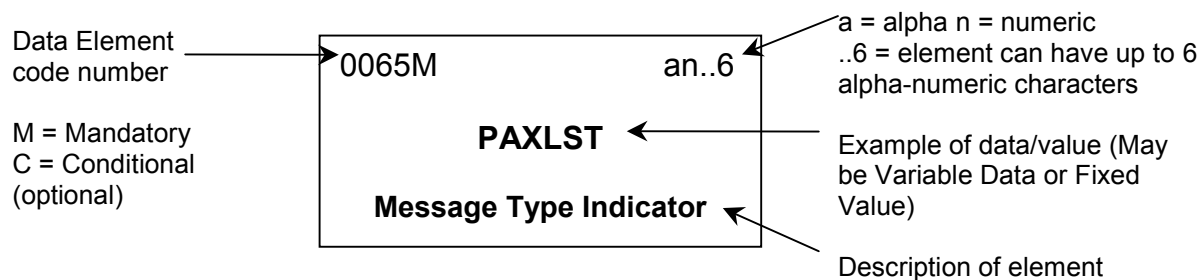
The following pages identify the syntax and order in which the segments will appear in the PAXLST. They reflect the requirements of CBP. In comparison to the WCO/IATA PAXLST, some WCO/IATA data elements are not used, some data elements are shorter, and some data elements have specific mandatory values.

3. Service String Advice (UNA)

Purpose: A segment to define characters used as separators and indicators. If used, this segment must be the first one in the transmission and appear before the UNB segment.

Segment Level: 0
Segment Usage: Conditional

- If the UNA is not sent, the values shown in this example will be used as defaults.

3.1 UNA Example

: **(colon)** Sub-element separator	**+** **(plus sign)** Element Separator	**.** **(period)** Decimal Notation

UNA

? **(question mark)** Release Indicator	**(space)** Reserved for future use	**'** **(single quote)** Segment Terminator

3.2 UNA Field Definitions

Sample Image

UNA:+.? '

Segment Tag	Definition
UNA	Segment label.
: *(colon)*	To separate a sub-element.
+ *(plus sign)*	To separate data elements.
. *(period)*	To locate a decimal point.
? *(question mark)*	To restore the original meaning to any character used as a separator in PAXLST syntax. For example: O?'Leary:Kris, in this case (') is valid data and not a segment terminator.
(space)	**Reserved for future use – no function in this PAXLST implementation.** The space must be present in the UNA segment, but does not have a function.
' *(apostrophe/single quote)*	To mark the end of a segment.

Notes:
1. A space must not be used as a separator or other formatting indicator. The exception is the fifth character, only because it has no function in this implementation.
2. Imbedded spaces in text fields such as names, addresses, and contact numbers do not have to be preceded with a release character.

4. Interchange Header (UNB)

Purpose: To identify an interchange.

Segment Level: 0
Segment Usage: **Mandatory**

4.1 UNB Example

	0001M a4		0002M an1		0004M an..30
UNB +	**UNOA**	:	**4**	+	**AIR1**
	Syntax Identifier		Syntax Version Number		Interchange Sender Identification

	0007C an2		0010M an8		0007C an2
· · · :	**ZZ**	+	**USCSAPIS**	:	**ZZ**
	Identification Code Qualifier		Interchange Recipient Identification		Identification Code Qualifier

	0017M n6		0019M n4		0020M an..14
· · · +	**020722**	:	**0900**	+	**000000001**
	Date		Time		Interchange Control Reference

	0026 M an4	
· · · + +	**APIS**	'
	Application Reference	

4.2 UNB Field Definitions

Sample Image

UNB+UNOA:4+AIR1:ZZ+USCSAPIS:ZZ+020722:0900+000000001++APIS'

Segment Tag	Definition
UNB	Segment label.
UNOA	Code identifying the agency controlling the syntax, and the character range used in an interchange. **Always 'UNOA'.**
4	Version number of the syntax. **Always '4'.**
AIR1	Sample carrier name or coded identification of the sender of the interchange. **Will be assigned by CBP.**
ZZ	The identification code qualifier.
USCSAPIS	Name or coded identification of the recipient of the interchange. **Always 'USCSAPIS'.**
ZZ	The default identification code qualifier. **Always 'ZZ', if present.**
020722	Local date when an interchange or a group was prepared. **Format as 'YYMMDD'.**
0900	Local time of day when an interchange or a group was prepared. **Format as 'HHMM'.**
000000001	Unique reference assigned by the sender to an interchange.
APIS	Identification of the application area assigned by the sender, to which the messages in the interchange relate, e.g., the message type, if all the messages in the interchange are the same type. **Always 'APIS'.**

5. Group Header (UNG)

Purpose: To specify a group of messages and/or package. Only one grouping of transactions will be allowed for this implementation.

Segment Level: 0
Segment Usage: Mandatory

5.1 UNG Example:

UNG	+	0038C an6 **PAXLST** Message Group Identification	+	0040M an..30 **AIR1** Application Sender Identification	:	0007C an2 **ZZ** Identification Code Qualifier

. . .	+	0044M an8 **USCSAPIS** Application Recipient Identification	:	0007C an2 **ZZ** Identification Code Qualifier	+	0017M n6 **020722** Date

. . .	:	0019M n4 **0900** Time	+	0048M an..14 **1** Group Reference Number	+	0051C an2 **UN** Controlling Agency, Coded

. . .	+	0052M an1 **D** Message Version Number	:	0054M an3 **02B** Message Release Number	'

5.2 UNG Field Definitions

Sample Image

UNG+PAXLST+AIR1:ZZ+USCSAPIS:ZZ+020722:0900+1+UN+D:02B'

Segment Tag	Definition
UNG	Segment label.
PAXLST	Identification of the single message type in the group. **Always 'PAXLST'.**
AIR1	Name or coded identification of the application sender. **Will be assigned by CBP.**
ZZ	The identification code qualifier.
USCSAPIS	Name or coded identification of the application recipient (for example, a division, branch or computer system/process). **Always 'USCSAPIS'.**
ZZ	The default identification code. **Always 'ZZ', if present**.
020722	Local date when an interchange or a group was prepared. **Format as 'YYMMDD'.**
0900	Local time of day when an interchange or a group was prepared. **Format as 'HHMM'.**
1	Unique reference number for the group within an interchange.
UN	Controlling agency code. **Always 'UN'.**
D	Version number of a message type. **Always 'D'.**
02B	Release number within the current message version number.

6. Message Header (UNH)

Purpose: A service segment starting and uniquely identifying a message. The message type code for the Passenger List Message is PAXLST.

Segment Level: 1
Segment Usage: Mandatory

6.1 UNH Example:

		0062M an..14		0065M an..6		0052M an..3
UNH	**+**	**PAX001**	**+**	**PAXLST**	**:**	**D**
		Message Reference Number		Message Type Identifier		Message Type Version Number

		0054M an..3		0051M an..2		0057M an..4
. . .	**:**	**02B**	**:**	**UN**	**:**	**IATA**
		Message Type Release Number		Controlling Agency		Association Assigned Code

		0068C an..35		0070C n..2		0073C a..1	
. . .	**+**	**ABC01**	**+**	**01**	**:**	**F**	**'**
		Common Access Reference		Sequence Message Transfer Number		First/Last Sequence Message Transfer Indication	

6.2 UNH Field Definitions

Sample Image

UNH+PAX001+PAXLST:D:02B:UN:IATA+ABC01+01:F'

Segment Tag	Definition
UNH	Segment label.
PAX001	Unique message reference assigned by the sender.
PAXLST	Type of message code; assigned by its controlling agency. **Always 'PAXLST'**.
D	Message type version number. **Always 'D'**.
02B	Release number within the current message type version number.
UN	The agency controlling the maintenance and publication of the message type. **Always 'UN'**.
IATA	The association responsible for the design and maintenance of the message type concerned. **Always 'IATA'**.
ABC01	Used at the carrier's discretion.
01	Number assigned by the sender to indicate that the message is an addition to a previous message relating to the same topic. **Optional**. May be used to indicate an incremented two digit sequence number assigned by a Carrier to identify associated PAXLST transactions in a transmitted sequence. For example, a block number.
F	Indicator used for the first and last message, in a sequence of the same type of message, relating to the same topic. **Optional**. **'C' = Initial passenger/crew reporting where Data Element 0070 = '01'** **'F' = FINAL* transmission of passenger/crew list** *If a message reporting FINAL information does not contain information for at least one traveler, the message will be discarded. We will note that it was received, but no further processing will be done.

7. Beginning of Message (BGM)

Purpose: A segment to indicate the type and function of the message.

Segment Level: 1
Segment Usage: **Mandatory**

7.1 BGM Example

		1001M an..3	
BGM	+	**745**	'
		Passenger List	
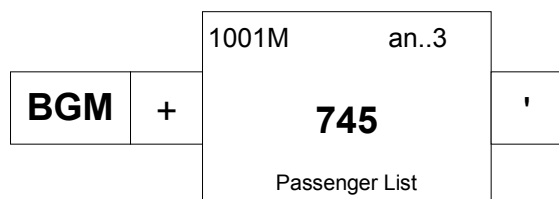
7.2 BGM Field Definitions

Sample Image

BGM+745'

Segment Tag	Definition
BGM	Segment label.
745	Document name code. Values are: **'745' = Passenger List** **'250' = Crew List**

8. Name and Address (NAD)

Purpose: A segment to identify the party reporting manifest information to CBP.

Segment Group: Group 1 (Conditional)
Segment Level: 2
Segment Usage: Conditional
- The Group 1 loop (Point of Contact) begins with an NAD segment.

8.1 NAD Example

		3035M an..2		3039C an..35			3036C an..30	
NAD	+	**MS** Party Function Code Qualifier	+	**USD090765** Transaction Party Identifier	+	+	**JIM DANDY** Party Name	'

8.2 NAD Field Definitions

Sample Images

NAD+MS+USD090746'
NAD+MS+++JIM DANDY'

Segment Tag	Definition
NAD	Segment label.
MS	Code identifying the party. **Always 'MS'.**
USD090746	Identifying number of a party responsible for reporting the transmitted manifest information. **Optional**: Not used if the Party Name is reported.
JIM DANDY	Name of a party responsible for reporting the transmitted manifest information. Note that the entire name is reported in this field, and that imbedded spaces and punctuation characters are allowed. **Optional:** Not used if the Party ID is reported.

Notes:
1. Either the Identifier <u>or</u> the Party Name must be reported if this segment is present.
2. CBP will maintain a point of contact database, but it will not be automatically updated by APIS PAXLST transmissions.

9. Communication Contact (COM)

Purpose: A segment used to identify contact information (e.g., telephone number and/or fax number) for the party reporting manifest information to CBP.

Segment Group: Group 1 (Conditional)
Segment Level: 3
Segment Usage: Conditional

- The COM segment contains a composite data element. Up to two (2) occurrences of this composite, <u>in a single segment</u>, may be used to report a telephone and fax number. They may occur in either order.

9.1 COM Example
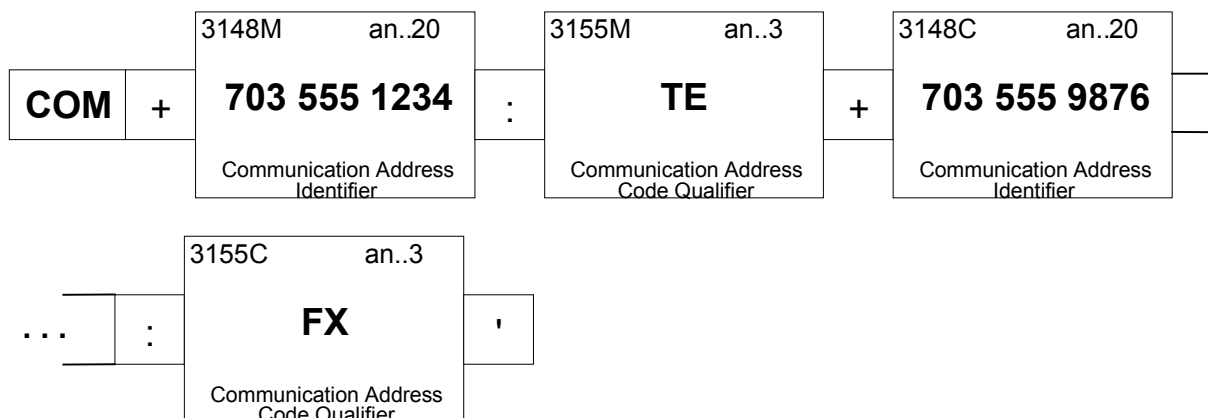
9.2 COM Field Definitions

Sample Image

COM+703 555 1234:TE+703 555 9876:FX'

Segment Tag	Definition
COM	Segment label.
703 555 1234	First communication address. **Maximum of 20 characters for a Telephone or Fax number, including imbedded spaces and punctuation.**
TE	Code qualifying the first communication address. **'TE' = Telephone**
703 555 9876	Second communication address.
FX	Code qualifying the second communication address. **'FX' = Fax**

10. Details of Transport (TDT)

Purpose: A segment used to identify carrier and flight number.

Segment Group: Group 2 (Mandatory)
Segment Level: 2
Segment Usage: **Mandatory**
- Group 2 (Flight Identification) consists entirely of this TDT segment.

10.1 TDT Example

```
           ┌─ 8051M        an..3 ─┐       ┌─ 8028M          an..7 ─┐
┌──────┬───┤                      ├───┬───┤                        ├───┬───┐
│ TDT  │ + │          20          │ + │          QF123            │ ' │
└──────┴───┤                      ├───┴───┤                        ├───┴───┘
           │ Transport Stage Qualifier    │  Means of Transport
           └──────────────────────┘       │  Journey Identifier
                                          └────────────────────────┘
```
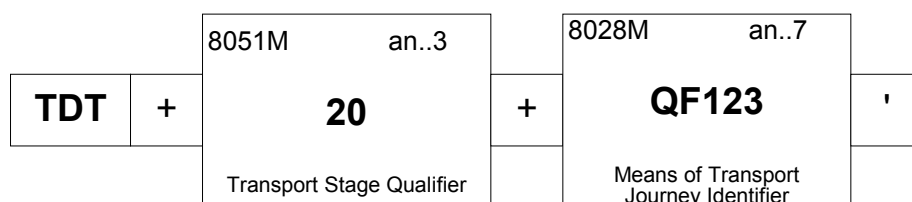
10.2 TDT Field Definitions

Sample Image

TDT+20+QF123'

Segment Tag	Definition
TDT	Segment label.
20	A specific stage of transport. **Always '20'.**
QF123	Carrier code/flight number. **Up to seven (7) characters of data are accepted, formatted as carrier code and flight number:** • **Carrier code is in IATA format, either AN2 or A3** • **Flight number is up to 4 digits numeric** **(Note: a carrier's operational suffix should <u>not</u> be sent.)**

11. Place/Location Identification (LOC)

Purpose: A segment used here to specify airport departure and arrival locations, and other airports in the flight itinerary.

Segment Group: Group 3 (Mandatory)
- Segment Group 3 (Flight Itinerary) may be used to report up to ten (10) airport locations, which define the entire journey of a specific flight.
- At least two (2) locations must be reported. Somewhere in the itinerary there must be a segment with qualifier '125' (Departure), followed immediately by a segment with qualifier '87' (Arrival).

Segment Level: 3
Segment Usage: Mandatory
- Each Group 3 loop (Flight Itinerary) begins with an LOC segment.

11.1 LOC Example

		3227M n..3		3225M a3	
LOC	+	**87**	+	**HNL**	'
		Location Function Code Qualifier		Location Name Code	
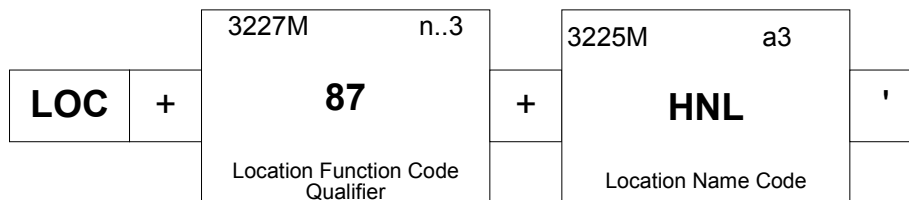
11.2 LOC Field Definitions

Sample Image

LOC+87+HNL'

Segment Tag	Definition
LOC	Segment label
87	Inbound flight (entering the U.S.) location qualifier codes: **'87' = Airport of initial arrival for CBP clearance** **'92' = In-transit or progressive flight routing** **'125' = Airport of departure; last non-U.S. airport before the flight arrives in the U.S.** **'130' = Airport of ultimate destination for the flight** Outbound flight (leaving the U.S.) location qualifier codes: **'87' = Airport of initial arrival outside U.S. territory** **'92' = In-transit or progressive flight routing** **'125' = Airport of departure; last U.S. airport before the flight leaves the U.S.** **'130' = Airport of ultimate destination for the flight**
HNL	The airport/location. This is a three-(3) character IATA Code.

Note:

1) Refer to Appendix A, Segment Group Coding Rules, for extremely important rules that govern the reporting of flight itineraries.

12. Date/Time/Period (DTM)

Purpose: A segment to used to indicate local dates and/or times for departures and/or arrivals.

Segment Group: Group 3 (Mandatory)
Segment Level: 4
Segment Usage: Mandatory
- Up to two (2) DTM Segments may be sent with a parent LOC segment to reflect BOTH Departure and Arrival Date/Time information for the location.
- At least **ONE (1)** DTM segment must be present for every LOC segment in the flight itinerary.

12.1 DTM Example

		2005M an..3		2380M n10		2379C an..3	
DTM	+	**189**	:	**0203191630**	:	**201**	'
		Date/TIme/Period Function Code Qualifier		Date/Time/Period Value		Date/Time/Period Format Code	
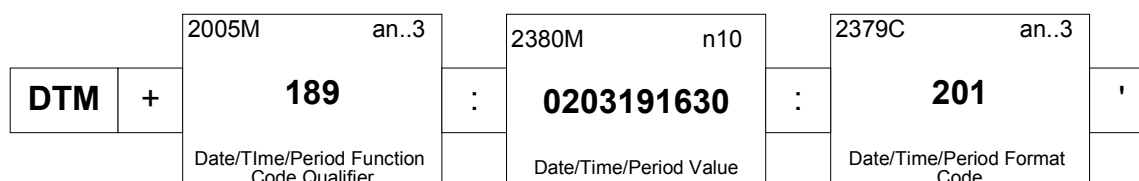
12.2 DTM Field Definitions

Sample Image

DTM+189:0203191630:201'

Segment Tag	Definition
DTM	Segment label.
189	Possible code values are as follows: **'189' = Departure date/time, scheduled** **'232' = Arrival date/time, scheduled**
0203191630	The value of a date, a date and time, or a period. All date and times reported should reflect the local date/time of the airport to which they refer. Date/time value formatted as 'YYMMDDhhmm' where: YY = Year MM = Month DD = Day hh = Hour mm = Minute
201	Indicates that the Date format also includes the Time.

13. Name and Address (NAD)

Purpose: A segment specifying the name and address of a traveler.

Segment Group: Group 4 (Mandatory)
Segment Level: 2
Segment Usage: Mandatory

- Each Group 4 loop (Passenger/Crew Entry) begins with an NAD segment.

13.1 NAD Example

| NAD | + | 3035M   an..3
FL
Party Function Code
Qualifier | + | + | + | |

| . . . | 3036M   an..25
DOE
Party Name (Surname) | : | 3036C   an..20
JOHN
Party Name (First) | : | 3036C   an..20
WAYNE
Party Name (Second) | |

| . . . | + | 3042C   an..35
201 ANYSTREET
Number and Street Identifier | + | 3164C   an..35
ANYCITY
City Name | + | 3229C   an..2
VA
Country Sub-entity
Name Code | |

| . . . | + | 3251C   an..9
22153
Postal Identification Code | ' |
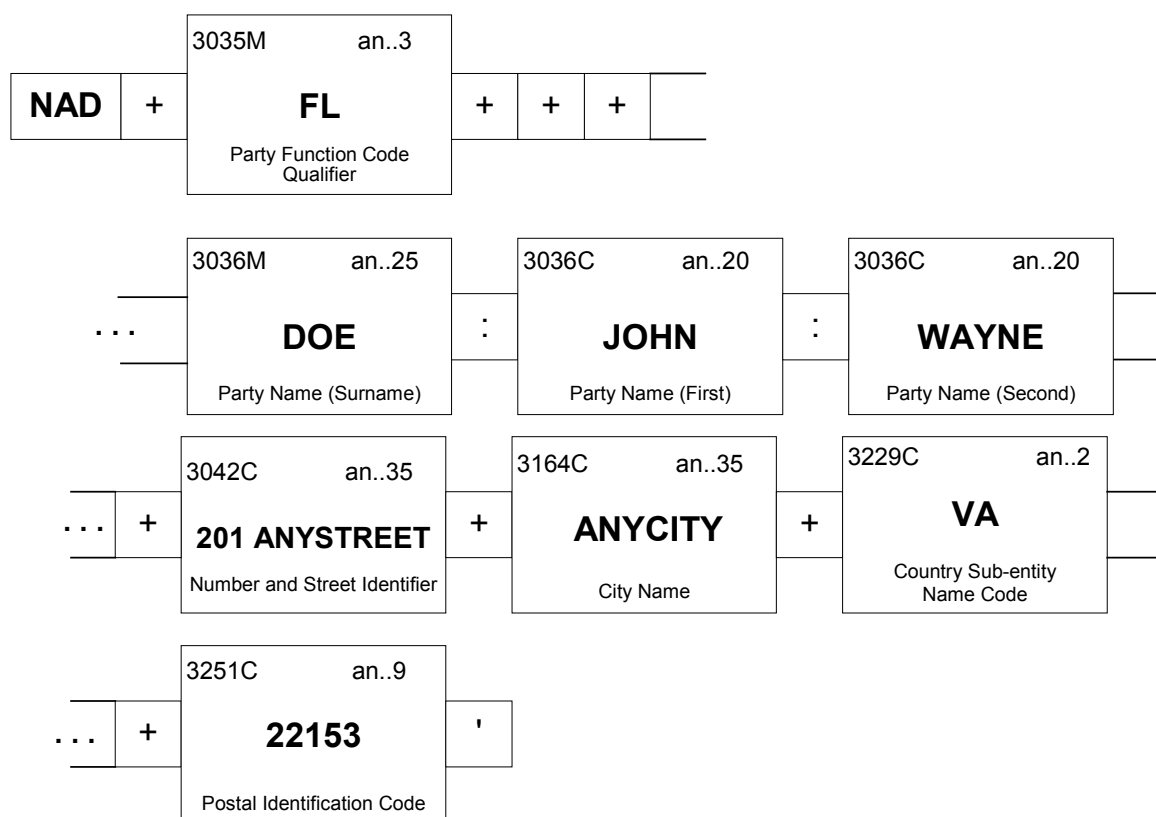
13.2 NAD Field Definitions

Sample Image

NAD+FL+++DOE:JOHN:WAYNE+201 ANYSTREET+ANYCITY+VA+22153'

Segment Tag	Definition
NAD	Segment label.
FL	Code identifying the party. **'FL' = Passenger** **'FM' = Crew member** **'DDT' = In-transit crew member** **'DDU' = In-transit passenger**
DOE	Last name of the traveler.
JOHN	First (given) name of the traveler.
WAYNE	Second name or initial of the traveler.
201 ANYSTREET	Number and street of U.S. destination.
ANYCITY	City name of U.S. destination.
VA	State code of U.S. destination.
22153	Postal code or route code of final destination.

Notes:
1. Last and First Names must be complete. First Name may not be an initial, although a first name that legitimately consists of a single character will be accepted.
2. Imbedded spaces are allowed in name fields.
3. A name suffix, such as "Jr." in "John Wayne Doe Jr.", should be reported with either the last name (e.g. DOE JR:JOHN:WAYNE) or the first name (e.g. DOE:JOHN JR:WAYNE), but not the second name.
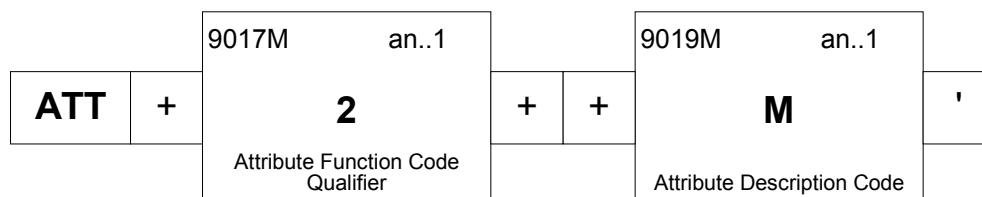
14. Attribute (ATT)

Purpose: A segment indicating the traveler's gender.

Segment Group: Group 4 (Mandatory)
Segment Level: 3
Segment Usage: **Mandatory**

14.1 ATT Example

```
         +-----------------------+           +-----------------------+
         | 9017M        an..1    |           | 9019M        an..1    |
+-----+  |                       | +-----+   |                       | +---+
| ATT |+ |          2            |  +  | + | |          M            | | ' |
+-----+  |                       |           |                       | +---+
         | Attribute Function    |           | Attribute Description |
         |   Code Qualifier      |           |      Code             |
         +-----------------------+           +-----------------------+
```

14.2 ATT Field Definitions

Sample Image

ATT+2++M'

Segment Tag	Definition
ATT	Segment label.
2	Code identifying the purpose of the attribute. **Always '2'.**
M	**'F' = Female** **'M' = Male**

15. Date/Time/Period (DTM)

Purpose: A segment to specify the traveler's Date of Birth.
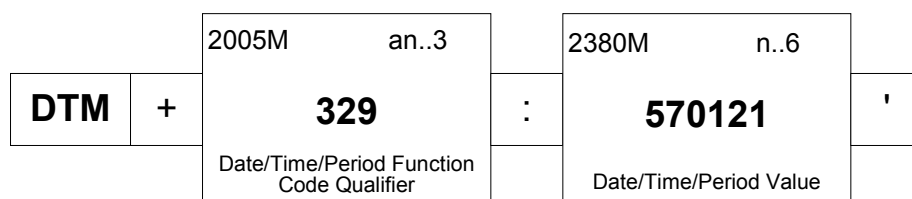
Segment Group: Group 4 (Mandatory)
Segment Level: 3
Segment Usage: Mandatory
- There is one occurrence of the DTM segment to identify Date of Birth of each traveler.

15.1 DTM Example

		2005M an..3		2380M n..6	
DTM	**+**	**329**	**:**	**570121**	**'**
		Date/Time/Period Function Code Qualifier		Date/Time/Period Value	

15.2 DTM Field Definitions

Sample Image

DTM+329:570121'

Segment Tag	Definition
DTM	Segment label.
329	**Code identifying the purpose of the date.** **Always '329'.**
570121	**Date of Birth value formatted 'YYMMDD' as follows:** **YY = Year** **MM = Month** **DD = Day**

16. Place/Location Identification (LOC)

Purpose: A segment indicating one of the following:
- traveler's country of primary residence
- airport where the traveler will clear CBP
- airport where the traveler began the current journey
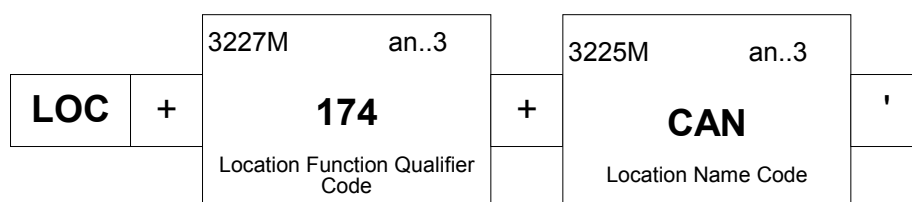- airport where the traveler will end the current journey.

Segment Group: Group 4 (Mandatory)
Segment Level: 3
Segment Usage: Conditional
- Up to four (4) LOC segments may be sent.

16.1 LOC Example

LOC	+	3227M an..3	+	3225M an..3	'
		174 Location Function Qualifier Code		**CAN** Location Name Code	

16.2 LOC Field Definitions

Sample Image

LOC+174+CAN'

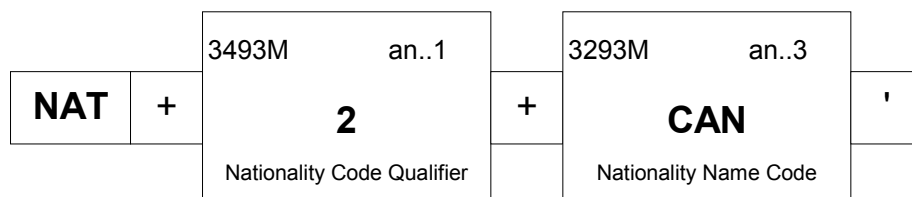| Segment Tag	Definition
LOC	Segment label.
174	Code identifying the purpose of the location. Possible code values are: **'22' = CBP office of clearance** **'174' = Country of residence** **'178' = Port of embarkation** **'179' = Port of disembarkation**
CAN	Code specifying the location. **Values to be identified as follows:** • When qualifier element 3227 = '22' – this element will contain an *IATA Airport Code* identifying the airport where the traveler will be processed through CBP clearance procedures. • When qualifier element 3227 = '178' – this element will contain an *IATA Airport Code* identifying the airport where the traveler began the journey, including any connecting flights before the one being reported. • When qualifier element 3227 = '179' – this element will contain an *IATA Airport Code* identifying the airport where the traveler ends the journey, including any connecting flights after the one being reported. • When qualifier element 3227 = '174' – this element will identify the *3-character ISO 3166 Country Code* specifying the Country of Primary Residence of the traveler. (Refer to **Appendix F** in this document.)

17. Nationality (NAT)

Purpose: A segment to indicate the nationality (current citizenship) of a traveler.

Segment Group: Group 4 (Mandatory)
Segment Level: 3
Segment Usage: **Mandatory**

17.1 NAT Example

		3493M an..1		3293M an..3	
NAT	**+**	**2**	**+**	**CAN**	**'**
		Nationality Code Qualifier		Nationality Name Code	

17.2 NAT Field Definitions

Sample Image

NAT+2+CAN'

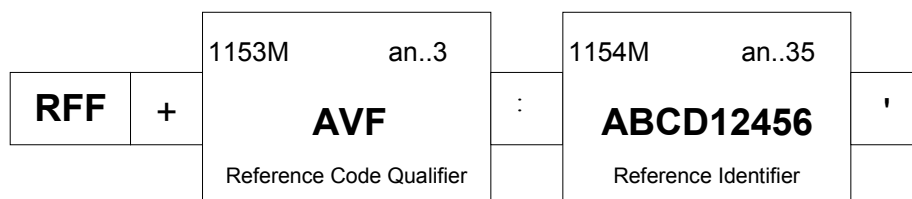| Segment Tag	Definition
NAT	Segment label.
2	**Always '2' (Current Nationality).**
CAN	Nationality code. **Use 3 character ISO 3166 Country Code to reflect Country of Nationality (Citizenship)**. (Refer to **Appendix F** in this document.)

18. Reference (RFF)

Purpose: A segment to identify a passenger's reservation number.

Segment Group: Group 4 (Mandatory)
Segment Level: 3
Segment Usage: Conditional

18.1 RFF Example

RFF	+	1153M an..3 **AVF** Reference Code Qualifier	:	1154M an..35 **ABCD12456** Reference Identifier	'

18.2 RFF Field Definitions

Sample Image

RFF+AVF:ABCD12456'

Segment Tag	Definition
RFF	Segment label.
AVF	Reference code. **Always 'AVF'.**
ABCD12456	Passenger flight reservation number. **Maximum of 35 characters.**

19. Document/Message Details (DOC)

Purpose: A segment to identify the traveler's travel documents, such as passports and visas, that will be presented to CBP.
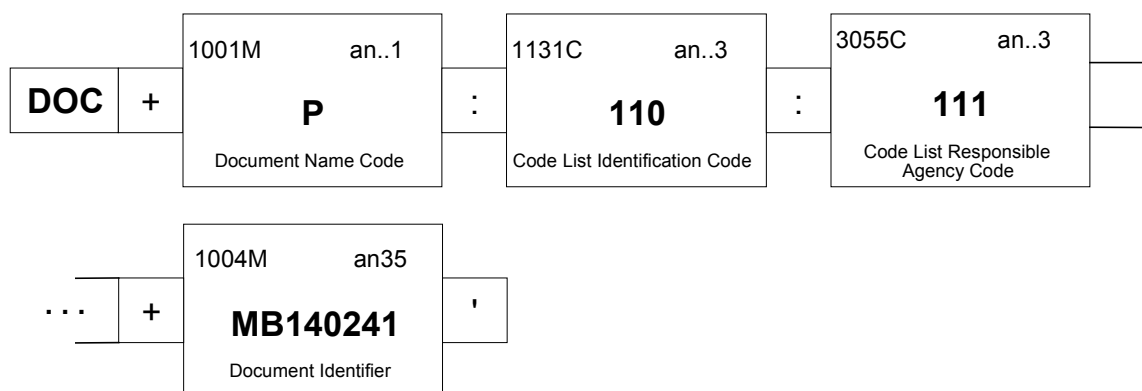
Segment Group: Group 5 (Conditional)
- Up to two (2) DOC segment groups may be sent to report the traveler's documents.

Segment Level: 3
Segment Usage: Mandatory
- Each Group 5 loop (Documents) begins with a DOC segment.

19.1 DOC Example

		1001M an..1		1131C an..3		3055C an..3
DOC	+	**P**	:	**110**	:	**111**
		Document Name Code		Code List Identification Code		Code List Responsible Agency Code

		1004M an35	
. . .	+	**MB140241**	'
		Document Identifier	

19.2 DOC Field Definitions

Sample Image

> DOC+P:110:111+MB140241

Segment Tag	Definition
DOC	Segment Label.
P	*The document name code. Valid CBP code values are: **'A' = U.S. Alien Registration Card** **'C' = U.S. Permanent Registration Card** **'F' = Facilitation Document** **'I' = INSPass** **'M' = Military ID Card** **'P' = Passport** **'T' = U.S Re-entry Permit or Refugee Travel Document** **'V' = Visa**
110	Identifier of the code list that contains the document name code. Not needed if Document Name Code is 'P' or 'V', but is allowed. **Always '110' – CBP Special Codes.**
111	The agency responsible for a code list. Not needed if Document Name Code is 'P' or 'V', but is allowed. **Always '111' – Customs and Border Protection.**
MB140241	Unique number assigned to a document as identified in Data Element 1001.

*Notes:
1. At this time, the current U.S. code set is required for Document Name code. In the future, the ICAO 9303 code set may also be supported.
2. This Guide does not imply which of these documents may be required or allowed for a given traveler, or the order of precedence in which they should be submitted.
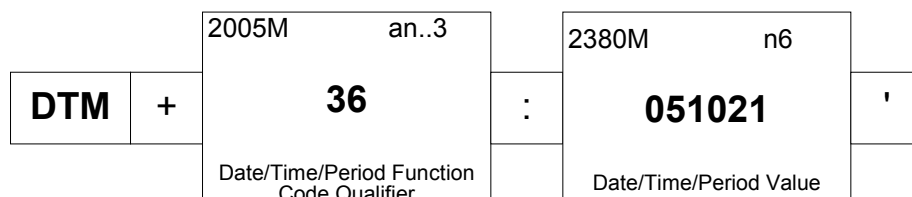
20. Date/Time/Period (DTM)

Purpose: A segment used to specify associated dates/times related to documents.

Segment Group: Segment Group 5 (Conditional)
Segment Level: 4
Segment Usage: **Mandatory**

20.1 DTM Example

DTM	+	2005M an..3 **36** Date/Time/Period Function Code Qualifier	:	2380M n6 **051021** Date/Time/Period Value	'

20.2 DTM Field Definitions

Sample Image

DTM+36:051021'

Segment Tag	Definition
DTM	Segment label.
36	A date, time, or period. **'36' = Document Expiration Date** **'182' = Document Issue Date**
051021	The value of a date, a date and time, a time, or of a period. **Date formatted 'YYMMDD' as follows:** **YY = Year** **MM = Month** **DD = Day**

Notes:
- Function Code Qualifier (Document Type) '182' is only used for visas.
- Function Code Qualifier (Document Type) '36' is used for all documents <u>except</u> visas.

21. Place/Location Identification (LOC)

Purpose: A segment indicating the location (country or city) where a document was issued.

Segment Group: Segment Group 5 (Conditional)
Segment Level: 4
Segment Usage: **Mandatory**

21.1 LOC Example

21.2 LOC Field Definitions

Sample Images

LOC+91+USA'
LOC+91+:::TORONTO' (Visa only)

Segment Tag	Definition
LOC	Segment label.
91	Location code. **Always '91' (Place of document issue).**
USA	Code specifying the name of the country that issued the document. Used for documents <u>not</u> issued by the U.S.; is not used for visas. **Conditional. Must be a 3-character ISO 3166 Country Code.**
TORONTO	Name of city where travel document was issued. Only used for visas. **Conditional. Maximum of 30 characters.**

Note: Individually, both the Country Name Code and the Location (City) Name are conditional, depending on Document Name Code, but at least one must be present.
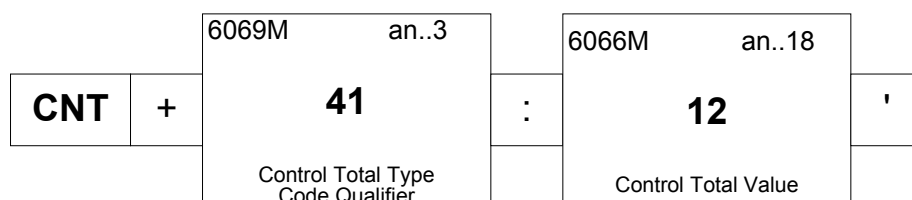
22. Control Total (CNT)

Purpose: A segment specifying the total number of passengers or crewmembers included in the message.

Segment Level: 1
Segment Usage: **Mandatory**

22.1 CNT Example

22.2 CNT Field Definitions

Sample Image

CNT+41:12'

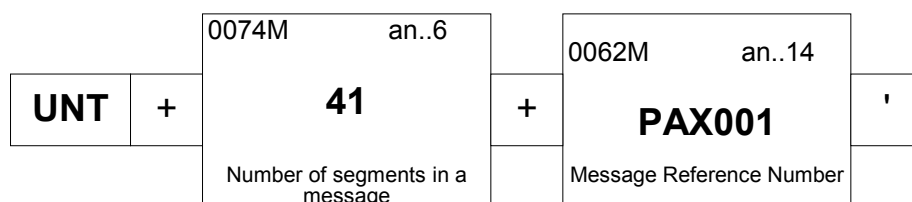| Segment Tag	Definition
CNT	Segment label.
41	The type of total. **Possible code values are**: **'41' = Total number of crew** **'42' = Total number of passengers**
12	The value of the control total *. ***Value should reflect total number of passengers or crewmembers for a specific flight, <u>not</u> the number being reported in this transaction**. (For example, if there are 50 passengers on the flight, and 30 are reported on this transaction, the control total should be 50. This control total is not validated against the number of passengers or crewmembers reported in a PAXLST transaction.) When a transaction is sent for a given departure airport, the total should include all travelers known to the departure control system at that port. This should include travelers who may have boarded at an earlier port in the flight itinerary, but who have not left the plane and re-boarded.

23. Message Trailer (UNT)

Purpose: A service segment ending a message, giving the total number of segments in the message (including UNH and UNT) and the control reference number of the message.

Segment Level: 1
Segment Usage: Mandatory

23.1 UNT Example

23.2 UNT Field Definitions

Sample Image

UNT+41+PAX001'

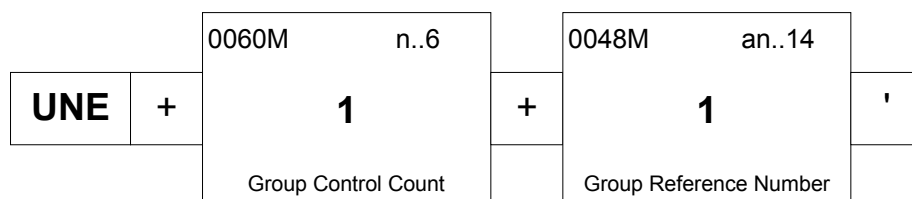| Segment Tag	Definition
UNT	Segment label.
41	Control count of number of segments in a message. **(A "message" consists of the segment group starting with a UNH and ending with this UNT. This control count does not include any UNA, UNB, UNG, UNE, or UNZ segments.)**
PAX001	Unique message reference assigned by the sender. **The value should be identical to value contained in Data Element 0062 of the preceding UNH segment.**

24. Group Trailer (UNE)

Purpose: To end and check the completeness of a group.

Segment Level: 0
Segment Usage: Mandatory

24.1 UNE Example

24.2 UNE Field Definitions

Sample Image

UNE+1+1'

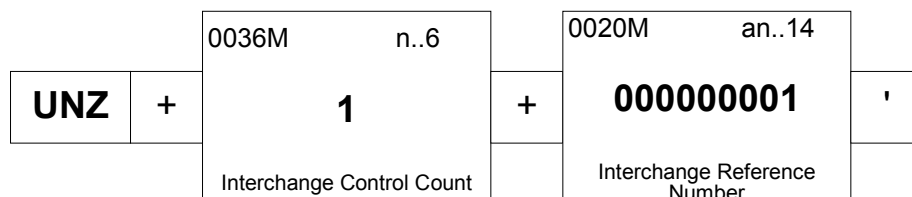| Segment Tag	Definition
UNE	Segment label.
1	The number of messages and packages in a group. **(Will usually have the value 1; if the transmission includes both Crew and Passenger lists, it will be 2.)**
1	Unique reference number for the group within an interchange. **Value should be identical to the value in UNG segment; Data Element 0048.**

25. Interchange Trailer (UNZ)

Purpose: To end and check the completeness of an interchange.

Segment Level: 0
Segment Usage: **Mandatory**

25.1 UNZ Example

25.2 UNZ Field Definitions

Sample Image

UNZ+1+000000001'

Segment Tag	Definition
UNZ	Segment label.
1	The number of messages and packages in an interchange or, if used, the number of groups in an interchange. **Always 1.**
000000001	Unique reference assigned by the sender to an interchange. **Value should be identical to the value in UNB segment; Data Element 0020**.

Appendices

Appendix A: Segment Group Coding Rules

Segment Groups were described in Section 1.2 "Message Structure", and many of the individual segments defined above are contained in one of the groups. The importance of segment groups is that they are a set of related segments that work together to report an important business entity. To do this properly, many of the groups have coding rules that provide the context for the rules of individual segments. This appendix describes the PAXLST segment groups and their rules in detail.

A.1   Group 1 – Reporting Party

This group describes the party responsible for the data being reported. We assume it to be the point of contact if any problems are found with the transmission. It is an optional group, but CBP expects that all filers will either provide accurate data with the transmission or maintain current information on our APIS point-of-contact database.

A.2   Group 2 – Flight Identification

This group is mandatory and consists of a single TDT segment that identifies the carrier and flight number. If this segment is missing or invalid, the message will be discarded.

A.3   Group 3 – Flight Itinerary

This group is subordinate to Group 2. It consists of 2 to 10 loops, each containing a LOC segment and 1 or 2 DTM segments. The LOC reports an airport in the flight's itinerary, and the DTM(s) report the scheduled Arrival and Departure date/time at that airport (in the local time zone).

Important aspects of CBP processing depends on the correct reporting of the flight itinerary, so the following rules must be followed:

1. <u>Maximum and minimum number of LOC – DTM loops</u>:
    *   There should be no more than ten LOC – DTM loops. Excess loops will be discarded and a warning generated. If a critical leg of the flight is lost (e.g., Arrival airport), the flight will not be processed correctly.

    *   A minimum of two LOC-DTM loops are expected, which report the Departure airport (LOC+125 segment) and Arrival airport (LOC+87 segment). (**Note:** "125" and "87" are the Location Function Code Qualifiers for departure and arrival, respectively.)

    *   At present, APIS regulations require only two airports:

- For Inbound flights, the last foreign departure (LOC+125) and the first U.S. arrival (LOC+87)
- For Outbound flights, the last U.S. departure (LOC+125) and the first foreign arrival (LOC+87).

2. <u>Departure, Arrival, Final Destination, and In-Transit airports</u>:
   - Departure and Arrival airports are always required.
     - For Inbound flights, "Departure" is the last foreign airport before arriving in U.S. territory, and "Arrival" is the first U.S. airport where CBP clearance will occur.
     - For Outbound flights, "Departure" is the last airport in U.S. territory, and "Arrival" is the first airport outside the U.S.

   - "Progressive" flights will have other airports after the Arrival airport, if the same flight continues within the U.S. and CBP clearance occurs at those airports.
     - The final airport should be reported as the Final Destination (LOC+130 segment), unless it is also the Arrival airport – in this case, no airport is reported as the Final Destination.
     - If there are Inbound airports between the Arrival airport and the Final Destination airport, they should be reported with the LOC+92 segment.
     - If the Final Destination of an Inbound flight is outside the U.S., the flight should be reported as two separate transmissions. Refer to rules #3 and #4 below.

   - In all cases, we expect to find a LOC+125 followed immediately by a LOC+87 somewhere in the itinerary.

   - It is expected that the first airport in the itinerary will only be reported with a scheduled Departure date/time, and the last airport will only have an Arrival date/time. Intermediate airports should be reported with both.

3. <u>Reporting completeness and order</u>:
   - Under current APIS regulations, all transmissions must report the Departure and Arrival airports, regardless of where the transmission was prepared. No other airports are required, although they will be accepted.

     For example, on a Paris – London – New York flight, a transmission can be sent from Paris for the travelers boarding there and going on to New York, but it should show London as the Departure, and New York as the Arrival. BCP does not require that Paris must be reported anywhere in the flight itinerary. Travelers boarding in Paris should have a Group 4 LOC+178 segment to show Paris as the port of embarkation – refer to section A.4 below for a discussion of reporting <u>traveler</u> itineraries. (It might be easier to send a single transmission from London that included the travelers who boarded in Paris, assuming that the departure control operations in London was aware of them. This is the carrier's option.)

- If a flight transits through the U.S., it must be reported as <u>both</u> an Inbound flight and an Outbound flight. (Refer to rule #4 below.) For example, a flight itinerary of GIG – GRU – LAX – NRT would be reported as:
  - An Inbound flight, with itinerary
    LOC+125+GRU
    LOC+87+LAX
  - An Outbound flight, with itinerary
    LOC+125+LAX
    LOC+87+NRT

- If the flight itinerary contains more than the Departure and Arrival airports, report them in the actual order of the flight. Using the previous example, do not report the flight as London – Paris – New York if the flight actually flies Paris – London – New York.

- In many cases, a carrier contracts out its departure operations at one or more airports in the itinerary, and that operator's departure control system may trigger transmission of APIS messages to CBP without knowing details of all other legs of the flight. Still, the message must always contain the Departure and Arrival airports. If we do not have this information, data for some travelers may be lost.

4. <u>Determining Inbound or Outbound status</u>:
   - Inbound/Outbound status is vital to correct processing of the flight, as it controls a number of system and manual processes that are significantly different. The PAXLST format does not have a way to explicitly report that the flight is arriving into the U.S. or departing from the U.S.; the country where the first airport in the itinerary is located determines this. If the first airport is in the U.S., the flight is Outbound; if the first airport is outside the U.S, the flight is Inbound.

   - It is logically impossible for the APIS system to process a transmission as both Inbound and Outbound. So, a flight that transits through the U.S. must be reported in two transactions, one for the Inbound leg(s) and one for the Outbound leg(s). For example, a London – New York – Toronto flight must be split into two transmissions, one for London – New York, and the other for New York – Toronto. The London – New York leg will be processed as an Inbound flight, and the New York – Toronto leg will be an Outbound flight. If this is not done, CBP will not recognize the New York – Toronto leg as an Outbound flight.

     This condition also applies to "round robin" flights, where a carrier operates a round-trip flight that leaves and returns to the U.S. (or enters and then leaves the U.S.) under a single flight number. As above, report this type of flight as two transmissions.

A.4   Group 4 – Persons

- At least one occurrence of this group is mandatory. A message sent without any travelers will be received and stored but will not be processed.

- This group consists of a number of segments which <u>must</u> be transmitted for each traveler <u>in the following order</u>:
    - NAD   (Traveler Type, Name, and Address)
    - ATT   (Gender)
    - DTM   (Date of Birth)
    - LOCs   (Traveler's Itinerary and Country of Residence)
    - NAT   (Nationality/Citizenship)
    - RFF   (Reservation/Passenger Name Reference (PNR) Locator)
    - Group 5 Documents (refer to section A.5)

    Note: If a traveler's segments are transmitted in a different order, the traveler might not be processed correctly. Also, <u>subsequent travelers in the message might be discarded</u>, and not processed at all.

- The NAD segment is mandatory for each traveler. Presence of an NAD indicates the beginning of data for a new traveler.

- If data is transmitted for a traveler via one or more ATT, DTM, LOC, NAT, RFF and/or DOC segments, and there is no preceding NAD for the traveler, <u>data for subsequent travelers in the transmission may be lost</u>.

- The NAD's Party Function Code Qualifier should be consistent with the type of list indicated on the BGM segment. Any passengers who are reported on a Crew list, or crewmembers on a Passenger list, might not be processed correctly.

- Rules for name and address reporting using the NAD segment will be established by CBP.

- The ATT and DTM segments are mandatory.

- Rules for reporting data using various LOC segments will be established by CBP. LOCs are used to report the traveler's Country of Residence and itinerary (Embarkation, Debarkation, and Customs Clearance locations). The traveler's itinerary is especially important when it does not correspond exactly to the flight itinerary that was reported.

- The NAT segment is mandatory.

- Rules for reporting PNR data using the RFF segment will be established by CBP.

- Important Note: APIS has no facility for adding or correcting data for a traveler on a given flight and arrival date, after the initial reporting of the traveler. If a later transmission reports the same name and date-of-birth for a traveler already on file, APIS treats it as a duplicate and discards it. All data for a traveler must be complete and correct when it is first reported.

A.5   Group 5 – Documents

This group is subordinate to Group 4. It consists of 0 to 2 loops, each containing 1 DOC segment, 1 or 2 DTM segments, and 1 LOC segment.

- The Group 5 segments should be transmitted in the following order:
    - DOC   (Document Type code and Number)
    - DTM   (Date(s) of Expiration and Issue)
    - LOC   (Country/City of Issue)

- The DOC segment is mandatory if the group appears. If document data is transmitted for a traveler via one or more DTM and/or LOC segments, and if there is no preceding DOC for the document, data for subsequent travelers in the transmission may be lost.

- Rules for reporting documents and the order of precedence will be established by CBP.

- Rules for reporting document dates using the DTM segment(s) will be established by CBP.

- Rules for reporting document locations using the LOC segment(s) will be established by CBP.

Appendix B: Business Scenarios and PAXLST Examples

Following are examples of PAXLST messages. The following notes apply to all examples:
- Examples may use data that resembles real airlines and individuals. Any resemblance is coincidental and does not imply that the airlines or individuals took the actions being reported by the example.
- For clarity, example messages in this guide are shown with a line break between segments. This is completely arbitrary and line breaks have no meaning in the syntax. (Refer to example B.1). Messages must be transmitted as a continuous bit stream.
- None of the examples show any communications header or trailer data that may be required by CBP, SITA, ARINC, or any other network. Details of any such data is outside the scope of this guide.
- Where the example shows a complete APIS transmission, it may be too long to fit into size limitations of various message types. The examples do not show this, and it may be necessary for the message to be split into two or more blocks that will be transmitted separately. If this is done, each block must have a complete set of UNA, UNB, UNG, UNH, UNT, UNE, and UNZ header/trailer segments.
- In some examples, notations of certain items are shown in parentheses and italic font.

B.1   Sample UN/EDIFACT Message, Displayed with Arbitrary Line Breaks

This message is shown with line breaks that are defined by the page width and Microsoft Word formatting rules. It can be seen that the message segments are contiguous and there is no intervening break between the terminator of one segment and the segment label of the next.

```
UNA:+.? 'UNB+UNOA:4+AIR1:ZZ+USCSAPIS:ZZ+030421:0900+000000001++
APIS'UNG+PAXLST+AIR1:ZZ+USCSAPIS:ZZ+030421:0900+1+UN+D:02B'UNH+
PAX001+PAXLST:D:02B:UN:IATA+ABC01+01:F'BGM+745'NAD+MS+++JIM DAN
DY'COM+703 555 1234:FX+703 555 9876:TE'TDT+20+QF123'LOC+125+SYD
'DTM+189:0304210830:201'LOC+87+HNL'DTM+232:0304201840'NAD+FL+++
CLARK:MICHAEL'ATT+2++M'DTM+329:550907'LOC+22+HNL'LOC+174+USA'LO
C+178+SYD'LOC+179+LAX'NAT+2+USA'RFF+AVF:ABCD1234'DOC+P+MB140241
'DTM+36:051021'LOC+91+USA'NAD+FL+++DOE:JOHN:WAYNE+201 ANYSTREET
+ANYCITY+VA+22153'ATT+2++M'DTM+329:570121'LOC+22+HNL'LOC+174+US
A'LOC+178+MEL'LOC+179+SFO'NAT+2+CAN'RFF+AVF:ZYXW9876'DOC+P+AAWE
4331'DTM+36:051021'LOC+91+CAN'DOC+V+DF666666'DTM+182:990119'LOC
+91+:::TORONTO'CNT+42:2'UNT+38+PAX001'UNE+1+1'UNZ+1+000000001'
```

B.2   Sample Inbound - Single Leg Flight with a Crew Member Clearing at Arrival

<u>Flight/Route</u>: Quantas #123, SYD – HNL

The flight itinerary follows the TDT segment. There must be an LOC+125 segment to show departure, followed by an LOC+87 segment to show arrival. The crewmember is a Canadian citizen residing in the U.S., presenting a Canadian passport upon arrival.

```
UNA:+.? '
UNB+UNOA:4+BUD1:ZZ+USCSAPIS:ZZ+020319:1545+000000001++APIS'
UNG+PAXLST+BUD1:ZZ+USCSAPIS:ZZ+020319:1545+1+UN+D:02B'
UNH+PAX001+PAXLST:D:02B:UN:IATA'
BGM+250'                              (This is a Crew list; note "FM" on the NAD)
NAD+MS+QF090746'                      (Point of Contact – Party ID number)
TDT+20+QF123'                         (Flight QF123)
LOC+125+SYD'
DTM+189:0203191540:201'               (Departure Date/Time from Sydney)
LOC+87+HNL'
DTM+232:0203200130:201'               (Estimated Arrival Date/Time in Honolulu)
NAD+FM+++CLARK:MICHAEL+375 MARISA BLVD+HONOLULU+HI+99901'
ATT+2++M'
DTM+329:720907'                       (Date of Birth)
LOC+22+HNL'
LOC+178+SYD'
LOC+179+HNL'
LOC+174+USA'                          (U.S. resident)
NAT+2+CAN'                            (Canadian citizen)
DOC+P:110:111+MB140241'              (110 and 111 optional for passports / visas)
DTM+36:051021'
LOC+91+CAN'                           (Canadian passport)
CNT+41:14'                            (14 crew on flight; "41" used for Crew)
UNT+21+PAX001'                        (21 segments in UNH – UNT "message")
UNE+1+1'
UNZ+1+000000001'
```

B.3   Sample Inbound – Multiple-Leg Flight with a Passenger Clearing at Arrival

<u>Flight/Route</u>: American #995, EZE – BOG – MIA

The flight itinerary is Buenos Aires – Bogota – Miami.
Only the Bogota and Miami locations must be reported on the flight itinerary.
The passenger boarded in Buenos Aires, clears CBP at Miami, and presents an
Argentine passport and a U.S. Visa issued in Buenos Aires. The passenger's
itinerary should show Buenos Aires as port of embarkation.

```
UNA:+.? '
UNB+UNOA:4+BUD1:ZZ+USCSAPIS:ZZ+020319:1100+000000001++APIS'
UNG+PAXLST+BUD1:ZZ+USCSAPIS:ZZ+020319:1100+1+UN+D:02B'
UNH+AA995-020722+PAXLST:D:02B:UN:IATA'
BGM+745'                              (This is a Passenger list; note "FL" on NAD)
NAD+MS+++KELLY JACKSON'                    (Point of Contact – Name)
COM+305 555 6789 X519:TE+305 555 6911:FX'
TDT+20+AA995'
LOC+125+BOG'                          (Departure to U.S., using LOC+125)
DTM+189:0203191540:201'
LOC+87+MIA'                           (U.S. Arrival, using LOC+87)
DTM+232:0203191830:201'
NAD+FL+++BORGES:MIGUEL:SANTOS+2216 FLAGLER BLVD SW+MIAMI+FL+33219'
ATT+2++M'
DTM+329:670517'
LOC+22+MIA'                           (CBP clearance in Miami)
LOC+178+EZE'                          (Passenger embarks at Buenos Aires)
LOC+179+MIA'                          (Passenger destination is Miami)
LOC+174+ARG'                          (Argentine resident)
NAT+2+ARG'                            (Argentine citizen)
RFF+AVF+23234987'                     (Passenger Name Record Locator)
DOC+P:110:111+XY426241'
DTM+36:051021'                        (Passport expiration date)
LOC+91+ARG'                           (Argentine passport)
DOC+V:110:111+42624109'
DTM+182:020311'                       (Visa issue date)
LOC+91+:::BUENOS AIRES'               (Visa issued at Buenos Aires)
CNT+42:269'                           (269 passengers on flight; "42" used)
UNT+29+AA995-020722'
UNE+1+1'
UNZ+1+000000001'
```

B.4   Sample Inbound – Multiple-leg Flight. Passenger Itinerary Differs from Flight Itinerary, and Passenger is Transiting to Another Country.

<u>Flight/Route</u>: Air France #25 CDG – JFK – IAD

Passenger Elisabeth Porizkova is a Czech citizen living in Switzerland. She started her journey in Geneva, will change planes in New York, and transit on to Montreal.

```
UNA:+.? '
UNB+UNOA:4+BUD1:ZZ+USCSAPIS:ZZ+020722:1400+000000001++APIS'
UNG+PAXLST+BUD1:ZZ+USCSAPIS:ZZ+020722:1400+1+UN+D:02B'
UNH+020722-056+PAXLST:D:02B:UN:IATA'
BGM+745'
NAD+MS+++JEAN POTHIER'
COM+33 1 797 2025:TE+33 1 788 4689:FX'
TDT+20+AF25'
LOC+125+CDG'                          (Flight departs from CDG for the US)
DTM+189:0207221350:201'
LOC+87+JFK'                           (Flight arrives at JFK; IAD leg not needed)
DTM+232:0207221740:201'
NAD+DDU+++PORIZKOVA:ELISABETH:R'      (Function Code 'DDU' for In-Transit)
ATT+2++F'
DTM+329:720623'
LOC+178+GVA'                          (Passenger embarks at GVA)
LOC+22+JFK'                           (Passenger clears CBP at JFK)
LOC+179+YUL'                          (Passenger transits to Montreal)
LOC+174+CHE'                          (Residence in Switzerland)
NAT+2+CZE'                            (Czech citizen)
RFF+AVF:PORELI-020713-33762'
DOC+P:110:111+564SBB415'
DTM+36+051210'
LOC+91+CZE'                           (Czech passport)
CNT+42:347'
UNT+26+020722-056'
UNE+1+1'
UNZ+1+000000001'
```

B.5   Sample Inbound – Combined Crew and Passenger Lists.

Flight/Route: JL #16, NRT – SEA

This is an example of a transmission that contains both a Crew list and a Passenger list.
- There is one set of UNA, UNB, UNG, UNE, and UNZ segments for the entire transmission. The UNE group count is 2, since there are two lists.
- There are two UNH – UNT loops, or "messages", one for each list. Note that the first has a message reference of "PAX001," and the second has a reference of "PAX002."
- The first list has a BGM value of 250; the second list has a BGM of 745. The order of the lists is not important.
- Since both lists should refer to the same flight, the segments in Groups 2 and 3 (TDT, LOC, DTM) for flight identification and itinerary are the same.

```
UNA:+.? ’
UNB+UNOA:4+BUD1:ZZ+USCSAPIS:ZZ+020319:1545+020319PXL0837++APIS’
UNG+PAXLST+BUD1:ZZ+USCSAPIS:ZZ+020319:1545+JLDC020319+UN+D:02B’
UNH+PAX001+PAXLST:D:02B:UN:IATA’          (Start of 1st UNH – UNT “message”)
BGM+250’                                  (Crew list)
NAD+MS+++YOSHIKAZU SUZUKI’
COM+81 3 555 1000 X519:TE+81 3 555 6789:FX’
TDT+20+JL16’                              (Flight JL16)
LOC+125+NRT’                              (Departure from Narita)
DTM+189:0203191540:201’
LOC+87+SEA’                               (Arrival in Seattle)
DTM+232:0203200130:201’
NAD+FM+++KAWASHIMA:TAKATSUGU+1100 WATER ST+SEATTLE+WA+97611’
ATT+2++M’
DTM+329:620907’
LOC+22+SEA’
LOC+178+NRT’
LOC+179+SEA’
LOC+174+JPN’
NAT+2+JPN’
DOC+P:110:111+KT2937AB7’
DTM+36:051021’
LOC+91+JPN’
CNT+41:14’                                (Crew count)
UNT+21+PAX001’                            (End of 1st UNH – UNT “message”)
UNH+PAX002+PAXLST:D:02B:UN:IATA’          (Start of 2nd UNH – UNT “message”)
BGM+745’                                  (Passenger list)
NAD+MS+++YOSHIKAZU SUZUKI’                 (Same point of contact as Crew list)
COM+81 3 555 1000 X519:TE+81 3 555 6789:FX’
TDT+20+JL16’                              (Same flight/itinerary as Crew list)
LOC+125+NRT’
DTM+189:0203191540:201’
LOC+87+SEA’
```

```
DTM+232:0203200130:201'
NAD+FL+++GATES:WILLIAM:R+1 RICH PL+REDMOND+WA+97501'
ATT+2++M'
DTM+329:600717'
LOC+22+SEA'
LOC+178+NRT'
LOC+179+SEA'
LOC+174+USA'
NAT+2+USA'
RFF+AVF+543234987'
DOC+P:110:111+XY426241'
DTM+36:051021'
LOC+91+USA'
CNT+42:269'                              (Passenger count)
UNT+29+PAX002'                           (End of 2nd UNH – UNT "message")
UNE+2+JLDC020319'
UNZ+1+020319PXL0837'
```

B.6   Sample Outbound – Single-Leg Flight.

Flight/Route: Continental #1601, HOU – MEX

- The flight itinerary is Houston – Mexico City.
- The passenger began his journey in Atlanta.
- CBP will define rules concerning required data for outbound passengers. In this example, documents needed to enter Mexico, such as a Mexican visa, are not shown.

```
UNA:+.? ’
UNB+UNOA:4+BUD1:ZZ+USCSAPIS:ZZ+020319:1125+BBBB++APIS’
UNG+PAXLST+BUD1:ZZ+USCSAPIS:ZZ+020319:1125+GGGG+UN+D:02B’
UNH+HHHH+PAXLST:D:02B:UN:IATA’
BGM+745’
NAD+MS+++JOHN WAGNER’
COM+713 555 2345:TE’
TDT+20+CO1601’
LOC+125+HOU’                    (Departure from U.S., using LOC+125)
DTM+189:0203191140:201’
LOC+87+MEX’                     (Arrival in Mexico City, using LOC+87)
DTM+232:0203191330:201’
NAD+FL+++EWING:JAMES:R’
ATT+2++M’
DTM+329:670517’
LOC+22+HOU’                     (CBP clearance at departure from U.S.)
LOC+178+ATL’                    (Trip started in Atlanta)
LOC+179+MEX’                    (Trip ends in Mexico City)
LOC+174+USA’
NAT+2+USA’
RFF+AVF+SA654234987’
DOC+P:110:111+XY426241’
DTM+36:051021’
LOC+91+USA’
CNT+42:269’
UNT+29+HHHH’
UNE+1+GGGG’
UNZ+1+BBBB’
```

B.7   Sample Outbound – Multiple Legs in U.S. Before Departure From U.S.

Flight/Route: Delta #510, IAD – JFK – LHR – FRA

- The reported flight itinerary is New York – London. IAD and FRA are not required.
- The passenger is continuing on to Frankfurt. His disembarkation location is reported as Frankfurt.

```
UNA:+.? '
UNB+UNOA:4+BUD1:ZZ+USCSAPIS:ZZ+020722:1150+BBBB++APIS'
UNG+PAXLST+BUD1:ZZ+USCSAPIS:ZZ+020722:1150+GGGG+UN+D:02B'
UNH+HHHH+PAXLST:D:02B:UN:IATA'
BGM+745'
NAD+MS+++JOHN WAGNER'
COM+713 555 2345:TE'
TDT+20+DL510'
LOC+125+JFK'                         (Departure from U.S./JFK, using LOC+125)
DTM+189:0207221445:201'
LOC+87+LHR'                          (Arrival at LHR, using LOC+87)
DTM+232:0207230027:201'
NAD+FL+++ROOSEVELT:JAMES:T'
ATT+2++M'
DTM+329:470522'
LOC+22+JFK'                          (Clearance from U.S. – not sure if needed)
LOC+178+IAD'                         (Trip started at Dulles)
LOC+179+FRA'                         (Trip ends at Frankfurt)
LOC+174+GER'
NAT+2+GER'
RFF+AVF+AP2100-6778'
DOC+P:110:111+RJ223987'
DTM+36:051021'
LOC+91+GER'
CNT+42:314'
UNT+29+HHHH'
UNE+1+GGGG'
UNZ+1+BBBB'
```

B.8   Flight Transiting Through the U.S. – Reported as Both Inbound and Outbound

Flight/Route: Varig #100 GIG – GRU – LAX – NRT

The flight itinerary is Rio – Sao Paulo – LA – Tokyo. Since the flight transits through the U.S., separate manifests must be reported for the Inbound and Outbound legs.

- The Inbound itinerary is GIG – GRU – LAX. Only GRU and LAX must be reported. In this example, there are two Inbound transmissions:
  - One for the travelers boarding at GIG. (This is optional – the carrier may transmit a single manifest from GRU, containing all travelers, including those who boarded at GIG.)
  - One for travelers boarding at GRU.

- The Outbound itinerary is LAX – NRT.
  (There is no explicit designation of the flight as Inbound or Outbound. They can only be distinguished by a logic rule: a flight is considered "Outbound" if the first airport in the flight itinerary is in the U.S., e.g., LAX.)

During the course of the flight, it carries 3 passengers:
- P1 boards in Rio, and stops in LA. (Reported on inbound transmission #1).
- P2 boards in Sao Paulo, and transits to Tokyo. (Reported on both inbound transmission #2, and the outbound transmission).
- P3 boards in LA, and goes to Tokyo. (Reported on the outbound transmission).

Inbound – Transmission #1 *(for travelers known at time of departure from GIG)*

```
UNA:+.? '
UNB+UNOA:4+BUD1:ZZ+USCSAPIS:ZZ+020322:1400+000000001++APIS'
UNG+PAXLST+BUD1:ZZ+USCSAPIS:ZZ+020322:1400+1+UN+D:02B'
UNH+RG020322-056+PAXLST:D:02B:UN:IATA'
BGM+745'
NAD+MS+++CONTACT 1'
COM+33 1 797 2025:TE'
TDT+20+RG100'
LOC+125+GRU'                     (Flight will depart for the U.S. Use LOC+125)
DTM+189:0203221710:201'
LOC+87+LAX'                      (Flight will arrive at LAX. Use LOC+87)
DTM+232:0203222230:201'
NAD+FL+++P1:P1'                  (Function Code 'FL' for this passenger)
ATT+2++F'
DTM+329:720623'
LOC+178+GIG'                     (Passenger embarks at GIG)
LOC+22+LAX'                      (Passenger clears CBP at LAX)
LOC+179+LAX'                     (Passenger disembarks at LAX)
LOC+174+USA'                     (Residence in USA)
```

```
NAT+2+USA'                          (US citizen)
RFF+AVF:P1REF1'
DOC+P:110:111+US12345'
DTM+36+051210'
LOC+91+USA'
CNT+42:347'                         (Flight starts with 347 passengers to U.S.)
UNT+26+RG020322-056'
UNE+1+1'
UNZ+1+000000001'
```

Inbound – Transmission #2 *(for travelers known at time of departure from GRU)*

```
UNA:+.? '
UNB+UNOA:4+BUD1:ZZ+USCSAPIS:ZZ+020322:1520+000000002++APIS'
UNG+PAXLST+BUD1:ZZ+USCSAPIS:ZZ+020322:1520+2+UN+D:02B'
UNH+RG020322-059+PAXLST:D:02B:UN:IATA'
BGM+745'
NAD+MS+++CONTACT 2'
COM+33 1 797 2025:TE'
TDT+20+RG100'
LOC+125+GRU'                        (Flight will depart for the U.S. Use LOC+125)
DTM+189:0203221710:201'
LOC+87+LAX'                         (Flight will arrive at LAX. Use LOC+87)
DTM+232:0203222230:201'
NAD+FL+++P1:P1'                     (Passenger P1 does not have to be reported again, but is)
ATT+2++F'
DTM+329:720623'
LOC+178+GIG'
LOC+22+LAX'
LOC+179+LAX'
LOC+174+USA'
NAT+2+USA'
RFF+AVF:P1REF1'
DOC+P:110:111+US12345'
DTM+36+051210'
LOC+91+USA'
NAD+DDU+++P2:P2'                    (Function Code 'DDU', because P2 is In-transit.)
ATT+2++F'
DTM+329:720623'
LOC+178+GRU'                        (Passenger embarks at GRU)
LOC+22+LAX'                         (Passenger "clears" CBP at LAX)
LOC+179+NRT'                        (Passenger disembarks at NRT)
LOC+174+BRA'                        (Residence in Brazil)
NAT+2+BRA'                          (Brazilian citizen)
RFF+AVF:P2REF2'
DOC+P:110:111+BR23456'              (Passport only – no U.S. visa needed)
DTM+36+041121'
LOC+91+BRA'
CNT+42:416'                         (Flight continues with 416 passengers to U.S.)
UNT+26+RG020322-059'
```

```
UNE+1+2'
UNZ+1+000000002'
```

Outbound *(for travelers going from LAX to NRT)*

```
UNA:+.? '
UNB+UNOA:4+BUD1:ZZ+USCSAPIS:ZZ+020322:1130+000000003++APIS'
UNG+PAXLST+BUD1:ZZ+USCSAPIS:ZZ+020322:1130+3+UN+D:02B'
UNH+RG020322-065+PAXLST:D:02B:UN:IATA'
BGM+745'
NAD+MS+++CONTACT 3'
COM+33 1 797 2025:TE'
TDT+20+RG100'
LOC+125+LAX'                    (Flight departs from the U.S. Use LOC+125)
DTM+189:0203221147:201'
LOC+87+NRT'                     (Flight will arrive in Tokyo. Use LOC+87)
DTM+232:0203230230:201'
NAD+DDU+++P2:P2'                (Passenger P2 is In-transit to NRT, and must be reported)
ATT+2++F'
DTM+329:720623'
LOC+178+GRU'                    (Passenger embarked at GRU)
LOC+22+LAX'                     (Passenger "clears" CBP at LAX)
LOC+179+NRT'                    (Passenger disembarks at NRT)
LOC+174+BRA'                    (Residence in Brazil)
NAT+2+BRA'                      (Brazilian citizen)
RFF+AVF:P2REF2'
DOC+P:110:111+BR23456'          (Passport only – no U.S. visa needed)
DTM+36+041121'
LOC+91+BRA'
NAD+FL+++P3:P3'                 (Passenger P3 has function code 'FL'.)
ATT+2++M'
DTM+329:820421'
LOC+178+LAX'                    (Passenger embarks at LAX)
LOC+22+LAX'                     (Passenger "clears" CBP at LAX, if needed)
LOC+179+NRT'                    (Passenger disembarks at NRT)
LOC+174+USA'                    (Residence in U.S.)
NAT+2+JPN'                      (Japanese citizen)
RFF+AVF:P3REF3'
DOC+P:110:111+JP98735'          (Passport only – no U.S. visa was presented upon entry)
DTM+36+041121'
LOC+91+JPN'
CNT+42:416'                     (Flight continues with 319 passengers leaving U.S.)
UNT+26+RG020322-065'
UNE+1+3'
UNZ+1+000000003'
```

Appendix C: CBP Help Desk Support

The CBP Help Desk is the point of contact for the trade users for problem reporting. The CBP Help Desk is available 24 hours a day, 365 days per year.

C.1   Help Desk Responsibilities

The CBP Help Desk supports problems in the following areas:

- Computer Hardware
- Network Systems Communications Line Errors
- Modem Failures
- System Software errors
- Applications Software Errors and ABENDs
- Computer Availability
- Problem Resolution
- Monitoring Problem Resolutions and Status

In addition to what is listed, the Help Desk will assist with any other computer-related problems or questions.

C.2   Problem Reporting

When a computer-related problem has been encountered, call the CBP Help Desk immediately and report the situation:

Commercial   (703) 921-6000
800 Service   1 800 927-8729

A Help Desk Technician will ask for the following information:
- Company Name
- Point Of Contact Name
- Phone Number
- Location
- Error Messages
- Problem Description
- TCP/IP address

The Help Desk Technician will:
- Open a trouble ticket
- Assist with the resolution or refer the problem to appropriate support group
- Follow up with status or verify problem resolution with the reporter of the problem.
- Be available for additional inquiries or other information.

Note: When calling about the status of a previously reported problem, please have the assigned ticket number available for reference.

Appendix D: Connection – Testing and Production

Customs and Border Protection maintains connections to both the ARINC and SITA networks. APIS participants wishing more information concerning a connection with ARINC or SITA can refer to the following Web sites:

ARINC: http://www.arinc.com

SITA: http://www.sita.com

For those APIS participants already connected to ARINC or SITA, the CBP IATA addresses for the routing of passenger manifests are as follows:

APIS Production: DCAUCCR

APIS Testing: To be provided be CBP UN/EDIFACT testers.

Appendix E: Registration, Qualification Testing, and Production Monitoring

E.1   Introduction

Before using APIS, carriers and software / service providers should register with BCP. The purpose of registration is to provide points of contact, and some information about how APIS will be used. This allows BCP to validate users, assign an Account Manager, and provide better service.

The purpose of qualification testing for carriers transmitting UN/EDIFACT data is to ensure that the carriers' systems and operational procedures will allow for consistent transmissions of data that will follow UN/EDIFACT syntax rules and CBP validation processing. We anticipate a large volume of users of the new UN/EDIFACT PAXLST to begin transmitting in a compressed time period, and it would cause a great deal of trouble to the APIS system if even a small percentage of these users were to transmit bad data. Also, it will be much easier for us to analyze and help debug bad transmissions in a test environment than it would be in production. So, we will not allow carriers to transmit data to the APIS production system until we have had a chance to review their transmissions for completeness and correctness.

Data quality is the responsibility of the carriers and the software they use. Some carriers might build their own software or hire a vendor to do so, while others might use a global distribution system (GDS). We expect each carrier to carry out testing with us, to ensure not only the quality of the software but also the ability of the carrier's personnel to use it correctly. However, if a carrier is using software that has been used successfully by other carriers, the process should go fairly quickly. We will also qualify a GDS or a vendor package.

CBP realizes that not all carriers will use the same software in all airports. It is common practice for carriers to contract out operations (such as passenger check-in and departure control) at airports where they have few flights. This may result in data for a flight being sent from a number of systems. We expect carriers to have procedures that allow them to correctly report all passengers no matter what system(s) are used.

CBP will test and qualify transmission of Crew lists and Passenger lists separately unless the carrier intends to report them both in the same transmission. If the carrier generates Crew and Passenger messages from different systems, one can be transmitted using the UN/EDIFACT message set while the other continues to use the US/EDIFACT set (or the future eAPIS system).

E.2   Registration

Registration can be done through the APIS web site, at
www.customs.gov/xp/cgov/travel/inspections/APIS/apis_registration_form.xml.

E.3   Outline of Testing Procedure

Qualification testing will cover the ability to transmit data according to the
UN/EDIFACT format and will uncover technical errors. However, it will not
necessarily uncover all conditions that could result in a penalty error for failing to
provide complete and correct data on all travelers. Testing will focus on two
areas:

1)   Communications

Carriers will send transmissions from their system to the CBP testing system,
using the teletype address provided for this purpose. This address will be given
to carriers or software developers who have registered with the APIS program.

This will test the carrier's communications link with CBP and will result in the data
being run through a copy of the APIS system. Unless there are errors, data will
be reviewed only to see if it shows up on the proper screens. As with Stage 1, a
representative sample of flights and passengers must be provided.

2)   Message Format

A representative sample of all types of flight and passenger itineraries must be
included in this stage. At a minimum, the scenarios covered by the examples in
Appendix B must be covered (except example B-05, combined Crew and
Passenger lists), unless the carrier can attest that it has no operations that follow
these examples.

Once these tests are successful, the carrier will be authorized to switch
transmissions to the production teletype address and begin submitting data to the
production system.

E.4   Production monitoring

CBP will continue to monitor the results of production transmissions. If an
increase in errors is observed and we feel that these errors are wasting
resources that affect the ability of other carriers to successfully transmit their
passenger lists, we may reserve the right to cancel a carrier's production access.
In this case, a carrier may be required to re-qualify after fixing its system(s).

E.5   Available Help and Feedback

We are setting up an e-mail address specifically for the purposes of responding to questions during development, testing, and production. (This mailbox address will be given to carriers or software developers who have registered with the APIS program.) Members of the support staff will monitor the mailbox, and we will attempt to answer questions in the order received. We are also developing an APIS Web site and plans to provide links to commonly asked questions and answers.

Note that CBP will provide answers to issues when a definitive response can be given. If a question addresses an issue that requires an interpretation or ruling by CBP, the carrier or software developer will be referred to CBP.

Appendix F: ISO Country Codes

The following table shows the ISO ANNEX D 3166 Country Codes. With the exception of Germany, ISO codes are three (3) characters in length.

Notes:
- This table contains the complete set of ISO codes as of Jan. 16, 2003. Codes that are no longer valid are not shown.
- The table is sorted by Country Name. If the document is in softcopy form as a Word file, it can be sorted on either of the other columns.
- In most cases, prefixes such as "Republic of" have been put in parentheses next to the common name of the country and do not become part of the sort order.
- A few countries have more than one entry if they may commonly be known by more than one name. For countries that have changed names, the previous name may be shown in parentheses next to the current name. This does not affect the sort order.

Country Name/Description	ISO Code
AFGHANISTAN	AFG
ALBANIA	ALB
ALGERIA	DZA
AMERICAN SAMOA	ASM
ANDORRA	AND
ANGOLA	AGO
ANGUILLA	AIA
ANTARCTICA	ATA
ANTIGUA & BARBUDA	ATG
ARGENTINA	ARG
ARMENIA	ARM
ARUBA	ABW
AUSTRALIA	AUS
AUSTRIA	AUT
AZERBAIJAN	AZE
BAHAMAS	BHS
BAHRAIN	BHR
BANGLADESH	BGD
BARBADOS	BRB
BELARUS	BLR
BELGIUM	BEL
BELIZE	BLZ
BENIN	BEN
BERMUDA	BMU
BHUTAN	BTN
BOLIVIA	BOL
BOSNIA AND HERZEGOVINA	BIH

Country Name/Description	ISO Code
BOTSWANA	BWA
BOUVET ISLAND	BVT
BRAZIL	BRA
BRITISH INDIAN OCEAN TERRITORY	IOT
BRUNEI DARUSSALAM	BRN
BULGARIA	BGR
BURKINA FASO (Formerly Upper Volta)	BFA
BURMA/MYANMAR (See Myanmar)	---
BURUNDI	BDI
CAMBODIA (Formerly Kampuchea)	KHM
CAMEROON	CMR
CANADA	CAN
CAPE VERDE	CPV
CAYMAN ISLANDS	CYM
CENTRAL AFRICAN REPUBLIC	CAF
CHAD	TCD
CHILE	CHL
CHINA (Taiwan)	TWN
CHINA (Mainland)	CHN
CHRISTMAS ISLAND	CXR
COCOS (KEELING) ISLANDS	CCK
COLOMBIA	COL
COMOROS	COM
CONGO (also DEMOCRACTIC REPUBLIC OF CONGO – formerly Republic Of Zaire)	COG
CONGO (Democratic Republic of)	COD
COOK ISLANDS	COK
COSTA RICA	CRI
COTE D'IVOIRE (Ivory Coast)	CIV
CROATIA	HRV
CUBA	CUB
CYPRUS	CYP
CZECH REPUBLIC (formerly Czechoslovakia)	CZE
DENMARK	DNK
DJIBOUTI	DJI
DOMINICA	DMA
DOMINICAN REPUBLIC	DOM
EAST TIMOR	TMP
ECUADOR	ECU
EGYPT	EGY
EL SALVADOR	SLV
EQUATORIAL GUINEA	GNQ
ERITREA	ERI

Country Name/Description	ISO Code
ESTONIA	EST
ETHIOPIA	ETH
FAEROE ISLANDS	FRD
FALKLAND ISLANDS (Malvinas)	FLK
FIJI	FJI
FINLAND	FIN
FRANCE	FRA
FRANCE, METROPOLITAN	FXX
FRENCH GUIANA	GUF
FRENCH POLYNESIA	PYF
FRENCH SOUTHERN TERRITORIES	ATF
GABON	GAB
GAMBIA, THE	GMB
GEORGIA	GGI
GERMANY (West – Federal Republic)	D
GERMANY (Unified)	GER
GHANA	GHA
GIBRALTAR	GIB
GREECE	GRC
GREENLAND	GRL
GRENADA	GRD
GUADELOUPE	GLP
GUAM	GUM
GUATEMALA	GTM
GUINEA	GIN
GUINEA-BISSAU	GNB
GUYANA	GUY
HAITI	HTI
HEARD AND MCDONALD ISLANDS	HMD
HONDURAS	HND
HONG KONG (Special Administrative Region of China)	HKG
HUNGARY	HUN
ICELAND	ISL
INDIA	IND
INDONESIA	IDN
IRAN (Islamic Republic of)	IRN
IRAQ	IRG
IRELAND	IRL
ISRAEL	ISR
ITALY	ITA
IVORY COAST	CIV
JAMAICA	JAM
JAPAN	JPN
JORDAN	JOR

Country Name/Description	ISO Code
KAZAKHSTAN	KAZ
KENYA	KEN
KIRIBATI	KIR
KOREA, DEM REP (NORTH)	PRK
KOREA, REPUBLIC (SOUTH)	KOR
KUWAIT	KWT
KYRGYZSTAN	KGY
LAOS (People's Democratic Republic of)	LAO
LATVIA	LTV
LEBANON	LBN
LESOTHO	LSO
LIBERIA	LBR
LIBYA (Libyan Arab Jamahiriya)	LBY
LIECHTENSTEIN	LIE
LITHUANIA	LIT
LUXEMBOURG	LUX
MACAO (Macau Special Administrative Region of China)	MAC
MACEDONIA (Formerly Yugoslav Republic of Macedonia)	MKD
MADAGASCAR (Malagasy)	MDG
MALAWI	MWI
MALAYSIA	MYS
MALDIVE ISLANDS	MDV
MALI	MLI
MALTA (and Gozo)	MLT
MARSHALL ISLANDS	MHL
MARTINIQUE	MTQ
MAURITANIA	MRT
MAURITIUS	MUS
MAYOTTE	MYT
MEXICO	MEX
MICRONESIA (Federated States of)	FSM
MOLDOVA (Republic of)	MDA
MONACO	MCO
MONGOLIA	MNG
MONTSERRAT	MSR
MOROCCO	MAR
MOZAMBIQUE	MOZ
MYANMAR (Formerly Burma)	MMR
NAMIBIA	NAM
NAURU	NRU
NEPAL	NPL
NETHERLANDS	NLD
NETHERLANDS ANTILLES	ANT
NEUTRAL ZONE (S. Arabia/Iraq)	NTZ

Country Name/Description	ISO Code
NEW CALEDONIA	NCL
NEW ZEALAND	NZL
NICARAGUA	NIC
NIGER	NER
NIGERIA	NGA
NIUE	NIU
NORFOLK ISLAND	NFK
NORTHERN MARIANA ISLANDS	MNP
NORWAY	NOR
OMAN	OMN
PAKISTAN	PAK
PALAU	PLW
PALESTINIAN TERRITORY (Occupied)	PSE
PANAMA	PAN
PAPUA NEW GUINEA	PNG
PARAGUAY	PRY
PERU	PER
PHILIPPINES	PHL
PITCAIRN ISLAND	PCN
POLAND	POL
PORTUGAL	PRT
PUERTO RICO	PRI
QATAR	QAT
REUNION ISLAND (French)	REU
ROMANIA	ROU
RUSSIA (Russian Federation)	RUS
RWANDA	RWA
SAMOA (Western)	WSM
SAN MARINO	SMR
SAO TOME AND PRINCIPE	STP
SAUDI ARABIA	SAU
SENEGAL	SEN
SEYCHELLES	SYC
SIERRA LEONE	SLE
SINGAPORE	SGP
SLOVAKIA	SVK
SLOVENIA	SVN
SOLOMON ISLANDS	SLB
SOMALIA	SOM
SOUTH AFRICA (Republic of)	ZAF
SOUTH GEORGIA and the SANDWICH ISLANDS	SGS
SPAIN	ESP
SRI LANKA (Formerly Ceylon)	LKA
ST HELENA	SHN

Country Name/Description	ISO Code
ST KITTS AND NEVIS	KNA
ST LUCIA	LCA
ST PIERRE AND MIQUELON	SPM
ST VINCENT AND THE GRENADINES	VCT
SUDAN	SDN
SURINAME	SUR
SVALBARD AND JAN MAYEN ISLANDS	SJM
SWAZILAND	SWR
SWEDEN	SWE
SWITZERLAND	CHE
SYRIA (Syrian Arab Republic)	SYR
TAIWAN	TWN
TAJIKISTAN	TJK
TANZANIA (United Republic of)	TZA
THAILAND	THA
TOGO	TGO
TOKELAU ISLANDS	TKL
TONGA	TON
TRINIDAD AND TOBAGO	TTO
TUNISIA	TUN
TURKEY	TUR
TURKMENISTAN	TKM
TURKS AND CAICOS ISLANDS	TCA
TUVALU	TUV
UGANDA	UGA
UKRAINE	UKR
UNITED ARAB EMIRATES	ARE
UNITED KINGDOM (British Citizen)	GBR
UNITED KINGDOM (British Dependent Territories Citizen)	GBD
UNITED KINGDOM (British National (Overseas))	GBN
UNITED KINGDOM (British Overseas Citizen)	GBO
UNITED KINGDOM (British Protected Person)	GBP
UNITED KINGDOM (British Subject)	GBS
UNITED STATES	USA
UNITED STATES MINOR OUTLYING ISLANDS	UMI
URUGUAY	URY
UZBEKISTAN	UZB
VANUATU	VUT
VATICAN CITY STATE (Holy See)	VAT
VENEZUELA	VEN
VIETNAM	VNM
VIRGIN ISLANDS (BRITISH)	VGB
VIRGIN ISLANDS (U.S.)	VIR
WALLIS AND FUTUNA ISLANDS	WLF

Country Name/Description	ISO Code
WESTERN SAHARA	ESH
YEMEN, REPUBLIC OF (Sanaa) (Formerly Yemen Arab Republic)	YEM
YUGOSLAVIA (Includes Serbia and Montenegro)	YUG
ZAMBIA	ZMB
ZIMBABWE	ZWE

Appendix G: U.S. State Codes

The following table contains the set of valid U.S. State codes in ascending order by State Name. Some of these codes might not be valid for purposes of reporting the U.S. Destination Address. Refer to CBP regulations for details.

State Name/Description	Code
ALABAMA	AL
ALASKA	AK
AMERICAN SAMOA	AQ
APO/FPO MILITARY (ZIPS 090-098)	AE
APO/FPO MILITARY (ZIPS 340)	AA
APO/FPO MILITARY (ZIPS 962-966)	AP
ARIZONA	AZ
ARKANSAS	AR
CALIFORNIA	CA
CANTON & ENDERBURY ISLANDS	EQ
COLORADO	CO
CONNECTICUT	CT
DELAWARE	DE
DISTRICT OF COLUMBIA	DC
FLORIDA	FL
FOREIGN COUNTRIES	XX
GEORGIA	GA
GUAM	GQ
HAWAII	HI
IDAHO	ID
ILLINOIS	IL
INDEPENDENT INDIAN NATION	II
INDIANA	IN
IOWA	IA
JOHNSTON ATOLL	JQ
KANSAS	KS
KENTUCKY	KY
LOUISIANA	LA
MAINE	ME
MARYLAND	MD
MASSACHUSETTS	MA
MICHIGAN	MI
MIDWAY ISLANDS	MQ
MINNESOTA	MN
MISSISSIPPI	MS
MISSOURI	MO

State Name/Description	Code
MONTANA	MT
NEBRASKA	NE
NEVADA	NV
NEW HAMPSHIRE	NH
NEW JERSEY	NJ
NEW MEXICO	NM
NEW YORK	NY
NORTH CAROLINA	NC
NORTH DAKOTA	ND
NORTH MARIANA ISLANDS	CQ
OHIO	OH
OKLAHOMA	OK
OREGON	OR
PENNSYLVANIA	PA
PUERTO RICO	RQ
RHODE ISLAND	RI
RYUKYU ISL - SO.	YQ
SOUTH CAROLINA	SC
SOUTH DAKOTA	SD
SWAN ISLANDS	SQ
TENNESSEE	TN
TEXAS	TX
TRUST TERRITORY OF PACIFIC ISLANDS	TQ
U.S. MISCELLANEOUS CARIBBEAN	BQ
U.S. MISCELLANEOUS PACIFIC ISLANDS	IQ
UNKNOWN - OTHER STATE	UN
UTAH	UT
VERMONT	VT
VIRGIN ISLANDS	VQ
VIRGINIA	VA
WAKE ISLAND	WQ
WASHINGTON	WA
WEST VIRGINIA	WV
WISCONSIN	WI
WYOMING	WY